



## CENTRUM BROKING LIMITED

**SEBI REGISTERED NSE, BSE AND MSEI MEMBER, DEPOSITORY PARTICIPANT AND PORTFOLIO MANAGER**

Registered Office: Bombay Mutual Bldg. 2nd Floor, Dr. D.N. Road, Fort, Mumbai - 400 001.

CIN: U67120MH1994PLC078125

Application No.: \_\_\_\_\_

### CLIENT REGISTRATION KIT

*(INDIVIDUAL ACCOUNT OPENING FORM)*

Client Name:			
Client Code:			
DP ID:		Client ID:	
Branch Name / Branch Code:			

## CENTRUM BROKING LIMITED

**Registered office :**  
 Bombay Mutual Building, 2nd Floor,  
 Dr D N Road, Fort, Mumbai- 400 001.  
 Tel No : +9122 22662434  
 Fax No : +9122 22611105  
 Website : www.centrumbroking.com

**Corporate Office & Correspondence Address :**  
 Centrum House, CST Road, Near Bandra Kurla Complex,  
 Vidya Nagari Marg, Kalina, Santacruz (East),  
 Mumbai- 400 098.  
 Tel No : +9122 42159000  
 Fax No : +9122 42159344  
 Website : www.centrumbroking.com

Centrum Broking Limited is engaged in client based business and proprietary trading as well. This disclosure is made in pursuance of SEBI circular no. SEBI/MRD/SE/Cire-42/2003 dated 19<sup>th</sup> November 2003.

LIST OF REGISTRATION			
Segment / Activity	Exchange / Regulator	Single- Registration No./Approval No	Date of Registration
CAPITAL MARKET	BSE	INZ000205331	08/10/2018
	NSE		
DERIVATIVES	NSE		
CURRENCY DERIVATIVES	MSEI		
	NSE		
DP ID	CDSL	12200	12/07/2012
DP	CDSL – SEBI	IN-DP-537-2020	12/07/2012
PMS	PMS – SEBI	INP 000004383	29/08/2012

**Compliance Officer :**  
**Ajay Bendkhale**  
 TEL NO : +91 022 42159023  
 EMAIL ID : compliance@centrum.co.in

**CEO :**  
**Sandeep Nayak**  
 TEL NO : +91 022 42159413  
 EMAIL ID : sandeep.nayak@centrum.co.in

<b>Sole / First Holder</b>	:	<b>Signatures F1-22</b> 
<b>Second Joint Holder</b>	:	<b>Signatures S1-7</b> 
<b>Third Joint Holder</b>	:	<b>Signatures T1-7</b> 

**GRIEVANCE REDRESSAL MECHANISM**

For any grievance/dispute please contact Centrum Broking Limited at the correspondence address or email Id - [investor.grievances@centrum.co.in](mailto:investor.grievances@centrum.co.in) and Phone No: 91-22-42159000

In case not satisfied with the response, please contact the concerned exchange(s) at:

**NSE Investor Grievance cell/Arbitration**

Tel: (022)2659 8173/1800220058

Fax No : (022) 2659 8191

Email : [ignse@nse.co.in](mailto:ignse@nse.co.in)

**Bombay Stock Exchange Limited**

Tel : (022)2272 8286

Fax No: (022) 2272 8097

Email : [is@bseindia.com](mailto:is@bseindia.com)

Email : [yogesh.bambardekar@bseindia.com](mailto:yogesh.bambardekar@bseindia.com)

**Metropolitan Stock Exchange of India Ltd**

E-mail : [investorcomplaints@msei.com](mailto:investorcomplaints@msei.com)

Tel No : 022-61129000 Extension : 9028

In case of any grievance/complaint against **Centrum Broking Limited as Depository Participant**, if you are not satisfied with the response received, you may contact CDSL on:

**Phone:** 1800-200-5533

**Website:** [www.cdslindia.com](http://www.cdslindia.com)

**E-mail:** [complaints@cdslindia.com](mailto:complaints@cdslindia.com)

You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575/ 1800 266 7575

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## SEBI/KRA-INSTRUCTIONS/CHECKLIST FOR FILLING KYC FORM (Individuals)

**A. IMPORTANT POINTS:**

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

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

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

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

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

1. Passport / Voters Identity Card / Ration Card / Registered Lease or Sale Agreement of Residence / Driving License/Flat Maintenance bill / Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook –Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary public / Elected representatives to the Legislative Assembly/ Parliament / Documents issued by any Govt, or Statutory Authority.
6. Identity card / document with address, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their Members.
7. For FII/sub account Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/ or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

**D. Exemptions/clarifications to PAN**

(\*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds up to Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

**E. List of people authorized to attest the documents:**

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

**CENTRAL KYC REGISTRY Instructions/CheckList/Guidelines for filling Individual KYC Application Form**

**General Instructions:**

1. For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
2. Tick (✓) wherever applicable.
3. Self-Certification of documents is mandatory.
4. List of state / U.T code as per Indian Motor Vehicle Act, 1988 is available on the next page.
5. List of two character ISO 3166 country codes is available on the next page.
6. Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
7. KYC number of applicant is mandatory for Updation of KYC details.
8. For particular section update, please tick (P) in the box available before the section number and strike off the sections not required to be updated.
9. In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

**A. Clarification/ Guidelines on filling 'Personal Details' section**

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

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

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

**C. Clarification/Guidelines on filling 'Proof of Identity [POI] section**

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

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

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

**D. Clarification / Guidelines on filling "Proof of Address [POA]- Current / Permanent / Overseas Address details section**

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

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

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

**E. Clarification/Guidelines on filling 'proof of Address [POA] - Correspondence / Local Address details' section**

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

**F. Clarification/Guidelines on filling 'Contact details' section**

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

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

1. Provide KYC number of related person if available.

**H. Clarification/Guidelines on filling 'Related Person details - proof of Identity [POI] of Related Person' section**

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

**OTHER INSTRUCTIONS**

Additional documents in case of trading in derivatives segments -Illustrative list:

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

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

2. Copy of cancelled cheque leaf / pass book / bank statement specifying name of the constituent, MICR Code or / and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/ sub-broker's office.

In case of non - resident clients, employees at the stock broker's local office, overseas can do in-person verification. Further considering the infeasibility of carrying out 'in-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the clients resides may be permitted.

List of two -digit state / U.T. codes as per Indian Motor Vehicle Act, 1988					
State / U.T.	Code	State / U.T.	Code	State / U.T.	Code
Andaman & Nicobar	AN	Bihar	BR	Daman & Diu	DD
Haryana	HR	Karnataka	KA	Maharashtra	MH
Nagaland	NL	Rajasthan	RJ	Tripura	TR
Andhra Pradesh	AP	Chandigarh	CH	Delhi	DL
Himachal Pradesh	HP	Kerala	KL	Manipur	MN
Orissa	OR	Sikkim	SK	Uttar Pradesh	UP
Arunachal Pradesh	AR	Chhattisgarh	CG	Goa	GA
Jammu & Kashmir	JK	Lakshadweep	LD	Meghalaya	ML
Pondicherry	PY	Tamil Nadu	TN	Uttarakhand	UA
Assam	AS	Dadra and Nagar Haveli	DN	Gujarat	GJ
Jharkhand	JH	Madhya Pradesh	MP	Mizoram	MZ
Punjab	PB	Telangana	TS	West Bengal	WB
				Other	XX

List of ISO 3166 two - digit Country Code					
Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Brazil	BR	Dominica	FK
Aland Islands	AX	British Indian Ocean Territory	IO	Dominican Republic	DM
Albania	AL	Brunei Darussalam	BN	Ecuador	DO
Algeria	DZ	Bulgaria	BG	Egypt	EC
American Samoa	AS	Burkina Faso	BF	El Salvador	EG
Andorra	AD	Burundi	BI	Equatorial Guinea	SV
Angola	AO	Cabo Verde	CV	Eritrea	GQ
Anguilla	AI	Cambodia	KH	Estonia	ER
Antarctica	AQ	Cameroon	CM	Ethiopia	EE
Antigua and Barbuda	AG	Canada	CA	Falkland Islands (Malvinas)	ET
Argentina	AR	Cayman Islands	KY	Faroe Islands	FO
Armenia	AM	Central African Republic	CF	Fiji	FJ
Aruba	AW	Chad	TD	Finland	TF
Australia	AU	Chile	CL	France	FI
Austria	AT	China	CN	French Guiana	FR
Azerbaijan	AZ	Christmas Island	CX	French Polynesia	GF
Bahamas	BS	Cocos (Keeling) Islands	CC	French Southern Territories	PF
Bahrain	BH	Colombia	CO	Gabon	GA
Bangladesh	BD	Comoros	KM	Gambia	GM
Barbados	BB	Congo	CG	Georgia	GE
Belarus	BY	Congo, the Democratic		Germany	DE
Belgium	BE	Cook Islands	CK	Ghana	GH
Belize	BZ	Costa Rica	CR	Gibraltar	GI
Benin	BJ	Cote d'Ivoire/Cote d'Ivoire	CI	Greece	GR
Bermuda	BM	Croatia	HR	Greenland	GL
Bhutan	BT	Cuba	CU	Grenada	GD
Bolivia, Plurinational state of	BO	Curacao / Curacao	CW	Guadeloupe	GP
Bonaire, Sint Eustatius and Saba	BQ	Cyprus	CY	Guam	GU
Bosnia and Herzegovina	BA	Czech Republic	CZ	Guatemala	GT
Botswana	BW	Denmark	DK	Guernsey	GG
Bouvet Island	BV	Djibouti	DJ	Guinea	GN

List of ISO 3166 two - digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code
Guinea-Bissau	GW	Malaysia	MY	Puerto Rico	PR
Guyana	GY	Maldives	MV	Qatar	QA
Haiti	HT	Mali	ML	Reunion I Reunion	RE
Heard Island and McDonald Islands	HM	Malta	MT	Romania	RO
Holy See (Vatican City State)	VA	Marshall Islands	MH	Russian Federation	RU
Honduras	HN	Martinique	MQ	Rwanda	RW
Hong Kong	HK	Mauritania	MR	Saint Barthelemy I SaintBarthelemy	BL
Hungary	HU	Mayotte	YT	Saint Helena, Ascension and Tristan da Cunha	SH
Iceland	IS	Mexico	MX	Saint Kitts and Nevis	KN
India	IN	Micronesia, Federated States of	FM	Saint Lucia	LC
Indonesia	ID	Moldova, Republic	MD	Saint Martin (French Part)	MF
Iran Islamic Republic of	IR	Monaco	MC	Saint Pierre and Miquelon	PM
Iraq	IQ	Mongolia	MN	Saint Vincent and the Grenadines	VC
Ireland	IE	Montenegro	ME	Samoa	WS
Isle of Man	IM	Montserrat	MS	San Marino	SM
Israel	IL	Morocco	MA	Sao Tome and Principe	ST
Italy	IT	Mozambique	MZ	Saudi Arabia	SA
Jamaica	JM	Myanmar	MM	Senegal	SN
Japan	JP	Namibia	NA	Serbia	RS
Jersey	JE	Nauru	NR	Seychelles	SC
Jordan	JO	Nepal	NP	Sierra Leone	SL
Kazakhstan	KZ	Netherlands	NL	Singapore	SG
Kenya	KE	New Caledonia	NC	Sint Maarten (Dutch Part)	SX
Kiribati	KI	New Zealand	NZ	Slovakia	SK
Korea, Democratic People's public of	KP	Nicaragua	NI	Slovenia	SI
Korea, Republic of	KR	Niger	NE	Solomon Islands	SB
Kuwait	KW	Nigeria	NG	Somalia	SO
Kyrgyzstan	KG	Niue	NU	South Africa	ZA
Lao People's Democratic Republic	LA	Norfolk Island	NF	South Georgia and the South Sandwich Islands	GS
Latvia	LV	Northern Mariana Islands	MP	South Sudan	SS
Lebanon	LB	Norway	NO	Spain	ES
Lesotho	LS	Oman	OM	Sri Lanka	LK
Liberia	LR	Pakistan	PK	Sudan	SD
Libya	LY	Palau	PW	Suriname	SR
Liechtenstein	LI	Palestine, State of	PS	Svalbard and Jan Mayen	SJ
Lithuania	LT	Panama	PA	Swaziland	SZ
Luxembourg	LU	Papua New Guinea	PG	Sweden	SE
Macao	MO	Paraguay	PY	Switzerland	CH
Macedonia, the former Yugoslav Republic of	MK	Peru	PE	Syrian Arab Republic	SY
Madagascar	MG	Philippines	PH	Taiwan, Province of China	TW
Malawi	MW	Pitcairn	PN	Tajikistan	TZ
		Poland	PL	Tanzania, United Republic of	TJ
		Portugal	PT		

## List of ISO 3166 two - digit Country Code

Country	Country Code
Thailand	TC
Timor-Leste	TH
Togo	TL
Tonga	TG
Trinidad and Tobago	TO
Tunisia	TT
Turkmenistan	TN
Turks and Caicos Islands	TM
Tuvalu	TV
Uganda	UG
Ukraine	UA
United Arab Emirates	AE
United Kingdom	GB
United States United States Minor	US
Outlying Islands	UM
Uruguay	UY
Uzbekistan	UZ
Vanuatu	VU
Venezuela, Bolivarian Republic of	VE
Viet Nam	VN
Virgin Islands, British	VG
Virgin Islands, U.S.	VI
Wallis and Futuna	WF
Western Sahara	EH
Yemen	YE
Zambia	ZM
Zimbabwe	ZW

## INDEX

S. No.	Name of the Document	Brief Significance of the Document	Page No
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1	<b>Account Opening Form</b>	A. KYC form - Document captures the basic information about the constituent and an instruction/checklist.	11-12
		B. Document captures the additional information about the constituent relevant to trading account and Demat account.	13-14
2	<b>Tariff Sheet</b>	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	15-16
3	<b>Rights and Obligations</b>	Document stating the Rights & Obligations of stock broker /trading member and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Document uploaded on Centrum Broking's Website
4	<b>Risk Disclosure Document (RDD)</b>	Document detailing risks associated with dealing in the securities market.	Document uploaded on Centrum Broking's Website
5	<b>Guidance note</b>	Document detailing do's and don'ts for trading on exchange for education of investors.	Document uploaded on Centrum Broking's Website
6	<b>Policies and Procedures</b>	Document describing significant policies and procedures of Stock Broker.	Document uploaded on Centrum Broking's Website
7	<b>Demat Account Details</b>	Additional Details required for Operating DP account.	20-21
8	<b>Nomination Details</b>	Collects details of any nomination made for the account.	18-19
9	<b>Other Details</b>	Other details Applicable to DP account	22-27
<b>VOLUNTARY AND OPTIONAL DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
10	<b>Risk Profiler</b>	Documents capturing risk appetite of client	29-31
11	<b>Running Account Authorization</b>	Running Account Authorization Letter for settlement of account periodically	32
12	<b>ECN Mandate</b>	For Receiving Contract Note and Other documents in Electronic Mode.	33
13	<b>FATCA &amp; CRS Forms</b>	Forms capturing information regarding Tax Residency status /Nationality / Tax Identification Numbers and Such other details.	34-35
14	<b>Additional Terms and Conditions</b>	Documents complements certain aspects of trading transactions which are not elaborated in other mandatory documents further it also seeks approval of the client to carry out certain transactions in mutual	36-39





**TRADING / DEMAT ACCOUNT RELATED DETAILS**

**BANK ACCOUNT DETAILS**

(only 1st Bank Account details will be mapped with DP)

Bank Name	Branch Address	Bank A/c. No.	A/c. Type	MICR No.	IFSC Code

Note: Please provide the above details with care as the same shall be used for payment through NEFT/RTGS.

- (i) Photocopy of the cancelled cheque having the name of account holder where the cheque book is issued,(or)
- (ii) Photocopy of the Bank Statement having name and address of the BO/Client and not more than 3 months old,
- (iii) Photocopy of the passbook having name and address of the BO/Client, (or)
- (iv) Letter from the Bank

In case options above, MICR Code of the Branch should be present/mentioned on the document should be self-certified by the BO/Client

**DEPOSITORY ACCOUNT(S) DETAILS**

Depository Name:	NSDL	CDSL
Depository Participant Name		
Beneficiary Name		
Depository ID		Beneficiary ID

**OTHER DETAILS**

Gross Annual Income Details (please specify) Income Range per annum

Below Rs  1 Lakh  1-5 Lakh  5-10 Lakh  10-25 Lakh  >25 Lakh

**Not Mandatory** - Net-worth as on \_\_\_\_\_ date \_\_\_\_\_ (Net worth should not be older than 1 year)

**Occupation**

- Private Sector  Public Sector  Government Service  Business  Professional  Agriculturist  Retired  
 Housewife  Student  Self Employed  Others (please specify) \_\_\_\_\_

Politically Exposed Person (PEP)  Related to a Politically Exposed Person(PEP)

Please tick, if applicable :  Not a PEP/ Related PEP

**PAST ACTIONS**

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

**INTRODUCER DETAILS (OPTIONAL)**

Name of the Introducer	
Status of the Introducer - Sub-Broker / Remisier / Authorised	
Person/Existing Client Address of the Introducer	
Phone Number	Signature (optional)



SCHEDULE OF CHARGES (TRADING)	
<input type="checkbox"/> <b>STANDARD RATES (TRADING)</b>	<b>Brokerage</b> Delivery: 0.50% min. 0.05% Intraday 0.05% (each leg) min. 0.05% Futures: 0.05% min. 0.02% Option: Rs 100/- per lot Currency Derivative: Rs 100/- per lot <b>Clearing Charges:</b> <b>0.00025% of futures and currency Derivatives Turnover</b> <b>0.00750% Options Premium Turnover</b>
<input type="checkbox"/> <b>Special Rates for a limited period</b> These Special Rates may be withdrawn at the option of broker and "Standard Rates" may be levied.	<b>Brokerage</b> Delivery: _____% min. _____% Intraday _____%( each leg) min. _____% Futures: _____% min. _____% Option: _____/-per lot Currency Derivative: Rs _____/-per lot <b>Clearing Charges</b> <b>0.00025% of Futures and Currency Derivative Turnover</b> <b>0.00750% Options Premium Turnover</b>

Please mark any one scheme: (If not marked/filled Standard rates apply)

**Other Charges:**

Sr. No	Particulars	Charges
1	Exchange pay in for customers from collateral account or Inter settlement security transfer	Rs. 10/- per transaction
2	Cheque bounce charges	Rs. 500/- per presentment
3	Duplicate statement(printed statement to be couriers)	Rs. 100/- per request
4	Contract Note Charges(Additional physical copy)	Rs. 50/- per contract
5	Handling Charges(Additional copy)	Rs. 50/- or as maybe changed from time to time
6	Physical delivery Charges	Rs. 1500 /- Per Crore

**Notes:**

1. Centrum Broking Ltd reserves the right to revise the fees/charges with prior intimation to Client electronically or otherwise and such charges shall be effective from the seventh day of such intimation.
2. All other statutory, regulatory and contractual charges including STT, Stamp duty, GST, SEBI fees, Exchange Turnover charges as applicable.

F7 \_\_\_\_\_ 

Signature of the client

X \_\_\_\_\_

RM Signature



**ADDITIONAL DETAILS REQUIRED FOR TRADING AND DEMAT ACCOUNT**

**SUB-STATUS (Please select one)**

<input type="checkbox"/> INDIVIDUAL	<input type="checkbox"/> Individual resident <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Other (specify) _____	<input type="checkbox"/> Individual margin trading a/c (mantra) <input type="checkbox"/> Individual promoter	<input type="checkbox"/> Individual director Relative <input type="checkbox"/> Individual director <input type="checkbox"/> Minor
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Other (specify) _____	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI depository receipt	<input type="checkbox"/> NRI Repatriable Promoter
<input type="checkbox"/> FOREIGN NATIONAL	<input type="checkbox"/> Foreign National <input type="checkbox"/> Other (specify) _____	<input type="checkbox"/> Foreign National - Depository receipt	
<input type="checkbox"/> NON-INDIVIDUAL	<input type="checkbox"/> Pvt. Ltd. Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership. <input type="checkbox"/> Trust <input type="checkbox"/> Charities <input type="checkbox"/> NGO'S <input type="checkbox"/> FI <input type="checkbox"/> FII. <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> Bank Govt. <input type="checkbox"/> Body <input type="checkbox"/> Non-Govt. <input type="checkbox"/> Organisation <input type="checkbox"/> Defence Establishment <input type="checkbox"/> BOI. <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> OCB <input type="checkbox"/> Mutual Fund <input type="checkbox"/> CM. <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (specify) _____		
	SEBI Registration No. (If applicable)		SEBI Registration date
	RBI Registration No. If applicable)		RBI Approval date
	Nationality	<input type="checkbox"/> Indian	<input type="checkbox"/> Other (specify)

**CATEGORIZATION OF THE CLIENT**

Retail  HNI  Police  Govt. Official  Civil Servant / IAS Officer  Advocate  Politician  Minor  Film Star / Model  
 Employee  Research  Associate Journalist  Other (specify) \_\_\_\_\_

I/We request you to open a demat account in my/ our name as per following details:-

**HOLDER DETAILS**

Holders Details		PAN																	
Sole /First Holder's Name	UID	X	X	X	X	X	X	X	X	X									
	UCC																		
	Exchange Name & ID																		
	PAN																		
Second Holder's Name	UID	X	X	X	X	X	X	X	X	X									
	PAN																		
Third Holder's Name	UID	X	X	X	X	X	X	X	X	X									
	PAN																		

**FIRMS / AOP / TRUST ETC.**

Name		PAN																
------	--	-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

\* In case of Firms, Association of persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above

**DETAILS OF GUARDIAN ( In Case the holder is Minor)**

Guardian's Name		PAN																
Relationship with the applicant																		

## Nomination form for Individuals

I/We wish to make a nomination and do hereby nominate 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 1 <sup>st</sup> Nominee	Details of 2 <sup>nd</sup> Nominee	Details of 3 <sup>rd</sup> Nominee
1. Name of the nominee (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 BO				
4. Address of Nominee(s) City / Place: State & Country:				
	PIN Code			
5. Mobile of nominee(s)				
6. Email ID of nominee(s)				
7. Nominee Identification details- Please tick any one of following 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				
<b>Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:</b>				
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) City / Place: State & Country:				
	PIN Code			
11. Mobile of Guardian				
12. Email ID of Guardian				
13. Relationship of Guardian with nominee				
14. Guardian Identification details- Please tick any one of following provide details of same]				
<input type="checkbox"/> Photograph & Signature				
<input type="checkbox"/> PAN				
<input type="checkbox"/> Aadhaar				
<input type="checkbox"/> Saving Bank account no.				
<input type="checkbox"/> Proof of Identity				
<input type="checkbox"/> Demat Account ID				

	Name(s) of holder(s)	Signature(s) of holder*
Sole / First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

Declaration Form for opting out of nomination

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

	Name(s) of holder(s)	Signature(s) of holder*
Sole / First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

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

Details of the Witness	
Name of Witness	
Address of Witness	
Signature of Witness	

**Note:** This nomination shall supersede any prior nomination made by the account holder(s), if any. The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

**(To be filled by DP)**

Nomination Form accepted and registered with Registration No. \_\_\_\_\_ Dated \_\_\_\_\_



**For Depository Participant  
(Authorized Signatory)**

**APPLICABLE TO DP ACCOUNTS**

Depository Participant Name : **CENTRUM BROKING LIMITED**  
 Address : **Bombay Mutual Bldg., 2<sup>nd</sup> floor, Dr. D. N. Road, Fort, Mumbai- 400001.**  
 (To be filled by the Depository Participant)

Application No.		Date													
DP Internal Reference No.															
DP ID	1	2	0	1	2	2	0	0	Client ID						

(To be filled by the applicant in BLOCK LETTERS in English)

I/We instruct the DP to receive each and every credit in my / our account (If not marked, the default option will be 'Yes')	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I/We request you to send Electronic Transaction- cum- Holding Statement at the email ID _____ <input type="checkbox"/> Yes <input type="checkbox"/> No	
I /We wish to receive dividend / interest directly into my bank account given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure- 2.4</b>	Mobile No.+91 _____ [Mandatory, if you are giving Power of Attorney (POA)] (If POA is not granted & you do not wish to avail of this facility, cancel this option).
<b>Easi</b>	To register for easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.
I/We would like to instruct the DP to accept all the pledge instructions in my/ our account without any other further instruction from my/ our end. (If not marked, the default option will be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to receive the annual Report (Tick the applicable box. If not marked the default option would be Physical)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic
I / We would like Open Basic Services Demat Account.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Opt Out
<p>The features of the Basic service Demat account (BSDA) are as follows:</p> <p><b>A. Criteria:</b> Individuals with only one Demat account where they are the sole or first holder shall be eligible to have BSDA account provided that the value of securities held in the Demat account does not exceed Rupees Two Lakhs at any point of time. An individual can have only one BSDA in his/her name across all depositories.</p> <p><b>B. Charges:</b> (i) Up to Rs. 50,000 there will be NIL AMC charged, (ii) For value of holding from Rs. 50,001 to Rs. 200,000 AMC will be up to Rs. 100, and (iii) The value of holding in such BSDA accounts exceeds Rs. 200,000 the prescribed criteria at any date, the DPs may levy charges as applicable to regular accounts (non-BSDA) from that date onwards.</p>	

Transactions Using Secured Texting Facility (TRUST), Refer to Terms and Conditions Annexure -2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility, I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST		
	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)

F10  \_\_\_\_\_  
 Signature of Sole/ First Holder

S2 \_\_\_\_\_  
 Signature of Second Holder

T2 \_\_\_\_\_  
 Signature of Third Holder

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

**OPTION FORM FOR ISSUE OF DIS BOOKLET**

To,

**Centrum Broking Limited (CBL)**

**Date:**

**Registered Office:** Bombay Mutual Bldg., 2<sup>nd</sup> Floor,  
Dr. D.N. Road, Fort, Mumbai-400001.

**DP Id 12200**

Dear Sir/ Madam

I/We here by state that: [Select one of the options given below]

**OPTION 1:**

I/We do not require the Delivery Instruction Slip (DIS) for the time being, since I/We have issued a POA/executed PMS agreement in favour of / with Centrum Broking Limited (name of the attorney / Clearing Member / PMS Manager) for executing delivery instructions for setting stock exchanges trades [settlement related transactions] effected through such Clearing Member / by PMS Manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

**OPTION 2:**

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/ us immediately on opening my/ our CDSL account though I/we have issued a Power of Attorney (POA)/ executed PMS agreement in favour of/ with Centrum Broking Limited (name of the attorney/ Clearing Member/PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member/ by PMS manager.

Yours faithfully

	<b>First/Sole Holder</b>	<b>Second Joint Holder</b>	<b>Third Joint Holder</b>
Name			
Signature	F11 	S3 	T3 

**(Signatures should be preferably in black ink)**

----- (Please Tear Here) -----

**Acknowledgement Receipt**

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

DP ID	<b>1</b>	<b>2</b>	<b>0</b>	<b>1</b>	<b>2</b>	<b>2</b>	<b>0</b>	<b>0</b>	Client ID								
Name of the Sole/First Holder																	
Name of Second Joint Holder																	
Name of Third Joint Holder																	

**Centrum Broking Limited**



**Seal and Signature**

**Combined Registration Form for availing SMS Alert and/ or TRUST facility and for registering Clearing Members on whose behalf the securities can be transferred from the account of BO on the basis of SMS under TRUST Facility**

To,  
**Centrum Broking Limited**  
 Centrum House, CST Road, Near Bandra Kurla Complex,  
 Vidya Nagari Marg, Kalina, Santacruz (East),  
 Mumbai-400098.

Dear Sir/ Madam,  
 I/We wish to avail the following facility/ies provided by the depository on my/ our mobile number as provided below subject to the terms and conditions as specified by CDSL

- a. SMART-SMS alert facility
- b. TRUST Transaction using Secured Texting facility

***(Please note that SMS alert facility is mandatory if TRUST facility is opted for)***

**BOID:**

1	2	0	1	2	2	0	0									
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--

Sole/ First Holder's Name: \_\_\_\_\_  
 Second Holder's Name: \_\_\_\_\_  
 Third Holder's Name: \_\_\_\_\_

I/We wish to register the following clearing members/ IDs under my/ our above mentioned BO ID registered for TRUST

Sr No.	Stock Exchange Name/ ID	Clearing Member Name	Clearing Member ID (Optional)

Mobile no. on which messages are to be sent: 

+91																
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

***(Please write only the mobile number without prefixing country code or zero)***  
***(Existing users registered for SMS alerts: - Please note that the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)***

The mobile number is registered in the name of:  
 (Name): \_\_\_\_\_  
 Email ID: \_\_\_\_\_

(Please write only ONE valid email ID on which communication; if any; is to be sent)

I/we consent to CDSL providing to the service provider such information pertaining to account/transactions in my/ our account as is necessary for the purpose of availing the said facility. I/We acknowledge that transactions entered by the above clearing members will be executed on the basis of SMS sent through our registered mobile number under TRUST and I/We shall be wholly responsible for execution/ non- execution of the said transactions based on receipt/ non- receipt of such SMS. I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies and agree to abide by them and any amendments there to made by the depository from time to time. I/We further undertake to pay fee/ charges as may be levied by the depository from time to time.

F12 \_\_\_\_\_      S4 \_\_\_\_\_      T4 \_\_\_\_\_   
 Signature of the Client (First Holder)      Signature of the Second Holder      Signature of the Third Holder  
 Place: \_\_\_\_\_

## Terms and Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL

### 1. Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

- A. "Depository" means Central Depository Services (India) Limited (CDSL)
  - B. TRUST means "Transactions is using Secured Texting" service offered by the Depository.
  - C. "Service Provider" means a cellular service provider (s) with whom the Depository has entered/ shall enter into an arrangement for providing the TRUST service to the BO.
  - D. "Service" means the service of providing facility to receive/ give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
  - E. "Third Party" means the operators with whom the Service Provider is having/ will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his/ her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository.
  3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
  4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/ receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
  5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP/ CDSL will not be held liable for acting on SMS so received.
  6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
  7. The BO agrees that the signing of the TRUST registration from by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
  8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
  9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed/made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
  10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
  11. The BO further acknowledges that the BO / CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute regarding the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
  12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.

13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied him to the Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process request originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. Indemnity:

In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of the arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

18. Disclaimer:

Depository shall be absolved of any liability in case:-

- a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
- b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
- c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

DEPOSITORY CHARGES (Please TICK ONLY ONE)				
Particulars/Scheme	Signature (Only for PMS) <input type="checkbox"/>	Gold Scheme <input type="checkbox"/>	Special 1 <input type="checkbox"/>	Special 2 <input type="checkbox"/>
Deposit/ Account opening charges	Nil			
Agreement documentation charges (At the time of opening CDSL account)	Nil			
Annual Maintenance charges	Nil	Nil	₹ 999	₹ 1,999 - Life Time One Time AMC
Custody charges/ Booklet Charges/ Account closing charges	Nil			
Demat charges	₹ 100/- per DRF	₹ 100/- per DRF and ₹ 10/- per certificate	₹ 50/- per DRF and ₹ 5/- per certificate	₹ 30/- per DRF and ₹ 3/- per certificate
Demat rejection charges	₹ 100/- per DRF			
Rematerialization charges	₹ 100/- per DRF	₹ 100/- per certificate +CDSL charges on actuals	₹ 50/- per certificate +CDSL charges on actuals	₹ 30/- per certificate +CDSL charges on actuals
Transaction charges (Sell Through Centrum Broking Ltd) off - market/On - market	Credit and Debit transactions-Nil	0.02% of the value; subject to a min ₹ 25/- per transaction	Debit/ sell ₹ 25/- per transaction	Debit/ sell ₹ 15/- per transaction
Transaction charges (Outside Centrum Broking Ltd)	Credit- Nil; Debit transactions - ₹ 25/- per ISIN	0.02% of the value; subject to a min ₹ 25/- per transaction	Debit/ sell ₹ 25/- per transaction	Debit/ sell ₹ 15/- per transaction
Failed instruction charges	₹ 10/- per ISIN			
Pledge charges for creation/ closure/ invocation/ confirmation	₹ 100/- per ISIN	0.02% of the value; subject to a min ₹ 25/- per transaction	0.02% of the value; subject to a min ₹ 25/- per transaction; max cap of ₹ 2,500/-	0.02% of the value; subject to a min ₹ 25/- per transaction; max cap of ₹ 1,500/-
Monthly/ quarterly/ transaction statement email	Nil			
Additional account statement(Physical)	₹ 100/-			
Additional account statement (Electronic)	25/-		Nil	
Other charges	Rs.500/- for cheque bounce / NDU charges Rs. 0.02% Min Rs. 50			
Account closure charges	Nil		Nil	
Late instruction execution charges.	Nil		₹ 20/- per ISIN	
Margin Pledge / Re-pledge / Un-Pledge	₹ 15/- per ISIN		₹ 15/- per ISIN	

**Notes**

- Centrum Broking Ltd (CBL) reserves the right to revise its charges / billing structure at its discretion.
- Cheques / pay orders / DD should be drawn in favour of "Centrum Broking Limited".
- Payment of AMC for the first year to be made at the time of account opening.
- DP charges will be debited to the CBL broking account ledger when applicable
- Amounts are exclusive of taxes and statutory levies which will be charged as actuals
- Any services not covered above shall be charged separately
- For corporates / non-individual accounts AMC levied by CDSL will be recovered in addition to the above specified charges which is 500 per annum computed on a pro rata (FY) basis for corporate accounts

I/We AGREE TO PAY THE ABOVE CHARGES AS PER THE SCHEME CHOSEN

F13 \_\_\_\_\_

Signature of the Client (First Holder)

S5 \_\_\_\_\_

Signature of the Second Holder

T5 \_\_\_\_\_

Signature of the Third Holder

Place: \_\_\_\_\_

**DECLARATION**

I / We have received and read the terms & conditions, Rights and Obligations and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me / us above are true and to the best of my / our knowledge as on the date of making this application. I / We agree and undertake to intimate the DP any changes) in the details / Particulars mentioned by me / us in this form. I / We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

I/We acknowledge the receipt of documents containing Rights and Obligations applicable for DP account and further confirm that / we understand the contents of 'Rights and Obligations'

	<b>First / Sole Holder or Guardian (in case of Minor)</b>	<b>Second Joint Holder</b>	<b>Third Joint Holder</b>
Name			
Signature	F14 	S6 	T6 

# NON-MANDATORY

**FINANCIAL RISK PROFILER - FOR INDIVIDUALS**

**GROUP A**

<b>1. Your current age is:</b>	
a. Under 30 years	<input type="checkbox"/>
b. 31-40 years	<input type="checkbox"/>
c. 41-50 years	<input type="checkbox"/>
d. 51-60 years	<input type="checkbox"/>
e. Over 60 years	<input type="checkbox"/>
<b>2. Your current annual take home income is:</b>	
a. Under Rs. 10,00,000	<input type="checkbox"/>
b. Between Rs. 10,00,001 and Rs. 15,00,000	<input type="checkbox"/>
c. Between Rs. 15,00,001 and Rs. 20,00,000	<input type="checkbox"/>
d. Between Rs. 20,00,001 and Rs. 30,00,000	<input type="checkbox"/>
e. Over Rs. 30,00,001	<input type="checkbox"/>
<b>3. The number of years you have until retirement is:</b>	
a. 3 years or less	<input type="checkbox"/>
b. 3 to 5 years	<input type="checkbox"/>
c. 5 to 10 years	<input type="checkbox"/>
d. 10 to 15 years	<input type="checkbox"/>
e. 15 years or more	<input type="checkbox"/>
<b>4. Your present job or business is:</b>	
a. Is not dependable	<input type="checkbox"/>
b. Is relatively secure	<input type="checkbox"/>
c. Is secure	<input type="checkbox"/>
d. Doesn't matter as you already have enough wealth	<input type="checkbox"/>
e. Doesn't matter as you can easily find an equally good new job/career	<input type="checkbox"/>
<b>5. What are your expectations of how your future earnings would be?</b>	
a. It would far outpace inflation	<input type="checkbox"/>
b. It would be somewhat ahead of inflation	<input type="checkbox"/>
c. It would keep pace with inflation	<input type="checkbox"/>
d. It may not be able to keep pace with inflation	<input type="checkbox"/>
<b>6. How good is your knowledge of finance?</b>	
a. I'm an expert in the field of finance	<input type="checkbox"/>
b. I'm proficient in finance	<input type="checkbox"/>
c. I don't know much about finance but I keep myself updated through newspapers, journals, TV, etc.	<input type="checkbox"/>
d. Limited to knowing things like how the stock market or certain select script is /are moving	<input type="checkbox"/>
e. I'm totally zero as far as knowledge of finance is concerned	<input type="checkbox"/>
<b>7. If you lose your job or stop working today, how long do you think your savings can support you?</b>	
a. Less than 3 months	<input type="checkbox"/>
b. 3- 6months	<input type="checkbox"/>
c. 6 months to 1 year	<input type="checkbox"/>
d. 1- 3 years	<input type="checkbox"/>
e. More than 3 years	<input type="checkbox"/>
<b>8. You are financially responsible for (exclude dependents who can be supported by your spouse's income)?</b>	
a. Only yourself	<input type="checkbox"/>
b. 1 person besides yourself	<input type="checkbox"/>
c. 2 to3 persons besides yourself	<input type="checkbox"/>
d. 4 to5 persons besides yourself	<input type="checkbox"/>

**FINANCIAL RISK PROFILER - FOR INDIVIDUALS**

**GROUP B**

<b>9. How would you describe yourself as a risk-taker?</b>	
a. I do not mind speculating	<input type="checkbox"/>
b. Willing to take risks for higher returns	<input type="checkbox"/>
c. Can take calculated risks	<input type="checkbox"/>
d. Low risk taking capability	<input type="checkbox"/>
e. Extremely averse to risk	<input type="checkbox"/>
<b>10. If you had Rs. 25 Lacs to invest, which of the following choices would you make?</b>	
a. Put the money in Bank Fixed Deposit and Bonds	<input type="checkbox"/>
b. Invest the money in Mutual Funds	<input type="checkbox"/>
c. Invest the money in Shares	<input type="checkbox"/>
d. Invest in the combination of above with higher proportion of Bank FDs and Bonds	<input type="checkbox"/>
e. Invest in the combination of above with higher proportion of Mutual Funds and Shares	<input type="checkbox"/>
<b>11. You have a market tip on the price appreciation of certain scrip, you:</b>	
a. Immediately invest in the scrip	<input type="checkbox"/>
b. Invest if you feel that the source of the tip is an experienced/expert market player	<input type="checkbox"/>
c. Do some enquiry and analysis and then decide	<input type="checkbox"/>
d. Want to invest but are generally unable to take decision in such cases	<input type="checkbox"/>
e. You don't rely on such tips or totally ignore it.	<input type="checkbox"/>
<b>12. You are on a TV game show and you win Rs. 50 Lacs. You have a choice to keep the money or risk it to win a higher amount. You:</b>	
a. Are happy with Rs. 50 Lacs that you have earned	<input type="checkbox"/>
b. Risk the Rs. 50 Lacs on a 50% chance of winning Rs. 1.50 Cr	<input type="checkbox"/>
c. Risk the Rs. 50 Lacs on a 25% chance of winning Rs. 3.75 Cr	<input type="checkbox"/>
d. Risk the Rs. 50 Lacs on a 10% chance of winning Rs. 5 Cr	<input type="checkbox"/>
<b>13. Which one of the following bets describes your feeling immediately after making an investment, you:</b>	
a. Are not bothered - it's just another investment for you	<input type="checkbox"/>
b. Are not very sure whether you made the right decision	<input type="checkbox"/>
c. Are satisfied and content with the decision	<input type="checkbox"/>
d. Are worried	<input type="checkbox"/>
e. Generally regret your decision	<input type="checkbox"/>
<b>14. The stock market has dropped 25% and a share that you own also dropped 25%, but the market expects the share to go up again. What would you do?</b>	
a. Sell all the shares	<input type="checkbox"/>
b. Buy more of them	<input type="checkbox"/>
c. Sell some of them	<input type="checkbox"/>
d. Keep all of them as you expect the price to reach the earlier level	<input type="checkbox"/>
e. Keep all of them as you are afraid of booking a loss	<input type="checkbox"/>
<b>15. You have a substantial sum of money spare for about 6 months after which you need this sum to repay a loan, this sum is currently not invested anywhere. You would:</b>	
a. Keep the money in your bank fixed deposit or money market funds	<input type="checkbox"/>
b. Invest the money in Debt mutual funds	<input type="checkbox"/>
c. Invest the money in Equity shares / Equity mutual funds	<input type="checkbox"/>
d. Loan the money at market rates to businessmen	<input type="checkbox"/>
e. Invest the money in a combination of above	<input type="checkbox"/>
<b>16. Please tick mark the additional applicable category to you</b>	
a. Non-resident client	<input type="checkbox"/>

FINANCIAL RISK PROFILER - FOR INDIVIDUALS	
b. High net-worth client (having net worth of more than Rs. 7 crore)	<input type="checkbox"/>
c. Trust, Charities, NGO's and organizations receiving donations	<input type="checkbox"/>
d. Company having close family shareholdings or beneficial ownership	<input type="checkbox"/>
e. Civil Servant or family member or close relative of civil servant	<input type="checkbox"/>
f. Bureaucrat or family member or close relative of bureaucrat	<input type="checkbox"/>
g. Current or Former MP or MLA and MLC or their family member or close relative	<input type="checkbox"/>
h. Politician or their family member or close relative	<input type="checkbox"/>
i. Current or Former head of state or of Governments or their family member or close relative	<input type="checkbox"/>
j. Senior government/judicial/military officers or their family member or close relative	<input type="checkbox"/>
k. Senior executives of state-owned corporations or their family member or close relative	<input type="checkbox"/>
l. Companies offering foreign exchange offering	<input type="checkbox"/>
m. None of the above	<input type="checkbox"/>

**FINANCIAL RISK PROFILER - FOR INDIVIDUALS**

**ANALYSIS**

<b>Your Risk taking capacity based on your life seems to be</b>	<input type="checkbox"/>
1. Low	<input type="checkbox"/>
2. Low-Medium	<input type="checkbox"/>
3. Medium	<input type="checkbox"/>
4. High	<input type="checkbox"/>
5. Very High	<input type="checkbox"/>
<b>Your attitude to risk based on your inputs seems to be</b>	<input type="checkbox"/>
1. Low	<input type="checkbox"/>
2. Low-Medium	<input type="checkbox"/>
3. Medium	<input type="checkbox"/>
4. High	<input type="checkbox"/>
5. Very High	<input type="checkbox"/>
<b>INVESTMENT PROFILE</b>	<input type="checkbox"/>
1. CONSERVATIVE	<input type="checkbox"/>
2. MODERATE	<input type="checkbox"/>
3. BALANCED	<input type="checkbox"/>
4. AGGRESSIVE	<input type="checkbox"/>
5. HIGHLY AGGRESSIVE	<input type="checkbox"/>

Name of the RM \_\_\_\_\_ Signature \_\_\_\_\_

I/We hereby acknowledge that my/our investment profile has been determined as \_\_\_\_\_ based on the information provided by me/us. However I/we declare that my/our risk profile to be charged to set up as \_\_\_\_\_

I/We would like to avail of leverage for trading in equities and Derivatives as may be offered by the member.

I/We hereby further confirm/undertake that the investments/trading done in securities market are from my/our own/borrowed sources of funds and confirm that the funds utilized for trading activity is in compliance with the rules, regulations and guidelines stipulated under PMLA.



F15 \_\_\_\_\_

S7 \_\_\_\_\_

T7 \_\_\_\_\_

Signature of the Client (First Holder)

Signature of the Second Holder

Signature of the Third Holder

**RUNNING ACCOUNT AUTHORIZATION**

**CENTRUM BROKING LTD.**

Bombay Mutual Building, 2<sup>nd</sup> Floor,  
Dr. D, N. Road, Fort, Mumbai-400001

Dear Sir/ Madam

**Subject: Running Account Authorization**

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

Due to operational convenience and to be in a position to settle my / our trades within the Exchange specified Settlement Schedule. I / We request you to offer the facility of maintaining the running account with you. I / We understand and agree the following:

- 1) You can retain the funds with you, received as payouts from the Exchange on my / our future transactions or outstanding positions, if any.
- 2) You can retain the securities with you, in your margin Account received as Payouts from the Exchanges on my / our behalf. The same can be used towards margin / collaterals for my / our future transactions or against outstanding positions.
- 3) In case of any sale transactions done by me / us, you can automatically deliver the shares to the Exchange towards Paying of my / our shares if any lying with you on my / our behalf.
- 4) In case of any purchase transaction done by me / us you can automatically make the funds' pay in to the Exchange out of the credits Lying in my / our account on my behalf.
- 5) In case of any debit balance in my / our account you can square off my / our securities held by me / us to the extent of our debit balance without any notice to me / us.
- 6) You can transfer funds / securities from my / our account in one segment against my obligation/ margin requirements in another segment in the same Exchange or different Exchange / s.
- 7) I / We confirm that the funds mean monies lying as credit in my / our account or payouts that are received from Exchanges arising out of sale of securities.
- 8) In case I / we require funds or securities, I/ we will inform you of the same in writing, after which you can make the payment, transfer the securities to me / us on my / our request.
- 9) I / We Understand and agree that no interest would be paid on my / our credit balance in the running account with CBL.
- 10) I / We will not hold CBL responsible for any loss / damage arising out of such transfers and or sale done by CBL on my/our behalf, pursuant to these instructions.
- 11) In case I / we wish to revoke this consent at any time, I / we shall inform CBL in writing and get it acknowledged by CBL.
- 12) In the event I / we have any dispute arising from the statement of account received from CBL, I / we will bring the same to the notice of CBL within 30 days from the date of receipt of funds / securities or the statement, as the case may be.

My /Our preference for actual settlement of funds and securities is at least (tick the appropriate choice):

- a)  Once in a calendar Quarter
- b)  Once in calendar month

At the time of the settling the account as above, in case I/ we are having any outstanding obligation, CBL may retain the funds & securities required to meet 225% of total margin liability in all the segments across exchanges, calculated in the manner specified by the exchanges/ SEBI.

I/we shall bring any dispute arising from the statement of account or settlement so made to your notice within 30 working days from the date of receipt of funds or statement, as the case may be. In the case of non- receipt of any such communication the statement / settlement of running account shall be considered as final as agreed and accepted by me.

Thanking You,

Yours faithfully

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

F16



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

Date:

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**MANDATE TO ISSUE CONTRACTS IN DIGITAL FORMAT**

1. I/We hereby agree and consent to accept the contract notes / or other documents i.e. trade confirmation Daily Margin statement, bills, statement of accounts and all other communication for transactions carried on by me / us in Digital form to my email id \_\_\_\_\_ (Please mention your email otherwise your request will not be activated)
2. I / We undertake to check the contract notes and other documents and bring the discrepancies to your notice preferably within 24 hours of such issuance of contract notes.
3. My / our non-verification or not accessing the contract notes or other documents on regular basis shall not be a reason for disputing the contract note / other documents at any time I / We understand that availing of digital contract facility is subject to following conditions:
  - a. The digital contract notes and / or other documents will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
  - b. Digital Contract notes and other documents will be mailed to the E- mail address provided to us in the format as may be prescribed by the Exchanges from time to time.
  - c. The non-receipt of the bounced mail notification by the CBL shall tantamount to deemed delivery of the contract note / other documents at my / our E-mail ID.
  - d. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client. In case of any errors found in case of other documents as described in Para 1, a revised document may be sent to the client's registered email id or may be issued in physical form if it is not feasible to send email id due to any technical issues .
  - e. Discrepancies, if any, should be addressed to E-mail: investor.grievances@centrum.co.in preferably within 24 hours of issuance of digital contract notes.
4. Any changes in the terms and conditions shall be intimated from time to time in writing / e- mail
5. Digital Contract notes will also be available at URL - <https://www.centrumbroking.com>
6. I / We can view the Digital Contract notes on URL by using the username & password provided to me / us by the CBL
7. All other communications shall be emailed to me / us at the email id given by me / us.
8. In case of Statement of Fund and Securities, I / we will have time to report the discrepancies within 30 Days of date of receipt of such statement.
9. In case of any changes in Email Id or wish to withdraw the mandate, I / we will intimate the same in writing by physical letter to CBL.



Signature: F17 \_\_\_\_\_

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

Date: 

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**FATCA & CRS Self-Certification (for Individual) FIRST HOLDER**  
 (Please consult your professional tax advisor for further guidance on your tax residency, if required)



Client ID \_\_\_\_\_ Trading Code \_\_\_\_\_ Date 

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**FATCA/CRS Declaration Form**

**Part I - Please fill in the country for each of the following:**

1	Country of:	
a)	Birth	
b)	Citizenship	
c)	Residence for Tax Purposes	
2	US Person (Yes / No)	

**Part II - Please note:**

a. If in all fields above, the country mentioned by you is India and if you do not have US person status, please proceed to **Part III** for signature.

b. If for any of the above field, the country mentioned by you is not India and / or if your US person status is yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent as issued in the specific country in the table below:

i)	TIN	
	Country of Issue	
ii)	TIN	
	Country of Issue	
iii)	TIN	
	Country of Issue	

a. In case any of the parameters in Part I indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers / functional equivalent, please complete and sign the Self- Certification section given in Part IV.

b. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate \_\_\_\_\_ Please also fill **Part IV** Self-Certification.

**Part III-Customer Declaration (Applicable for all customers)**

I. Under penalty of perjury, I /we certify that:

The applicant is (i) an Applicant taxable as a US person under the laws of the United States of America ("US") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the US. (ii) an estate the income of which is subject to US federal income tax regardless of the source thereof. **(This clause is applicable only if the account holder is identified as a US person)**

II. The applicant is an applicant taxable as a tax resident under the laws of Country outside India. **(This clause is applicable only if the account holder is a tax resident outside of India)**

1. I / We understand that you are relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA / CRS. You are not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/ We will seek advice from professional tax advisor for any tax questions.
2. I / We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
3. I/We agree that as may be required by domestic regulators / tax authorities you may also be required to report, reportable details to CBDT or close or suspend my account.
4. I /We certify that I/we provide the information on this form and to the best of my / our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature: F18

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

**FATCA & CRS Self-Certification (for Individual) FIRST HOLDER**  
 (Please consult your professional tax advisor for further guidance on your tax residency, if required)



<b>Client ID</b>	<b>Trading Code</b>	<b>Date</b>							
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Date (DD / MM / YYYY):

**Part IV-Self-Certification:** To be filled only if-

- a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or
- b) US person is mentioned as Yes in Part I, and TIN is not available

I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.	F19 Signature
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Document Proof submitted (Please tick document being submitted)

<input type="checkbox"/> Passport	<input type="checkbox"/> Election ID Card	<input type="checkbox"/> PAN Card	<input type="checkbox"/> Driving License
<input type="checkbox"/> UIDAI Letter	<input type="checkbox"/> NREGA	<input type="checkbox"/> Job Card	<input type="checkbox"/> Govt. issued ID Card

**ADDITIONAL TERMS AND CONDITIONS APPLICABLE TO THE CLIENT FOR AVAILING  
SECURITIES TRADING SERVICES FROM CENTRUM BROKING LIMITED (CBL)**

**1. Compliance with Laws**

I am / We are fully aware that all transactions that are carried out by me / us and on behalf of me / us shall always be subject to Government notifications, rules, guidelines, regulation, circulars, by SEBI / RBI / Exchanges and other regulatory authorities that may be in force from time to time.

In case if / we register as a Non- Resident Indian or my / our status changes from Resident Indian to Non-Resident Indian, I/ we agree to intimate the same to CBL or its depository participant and agree to abide by Foreign Exchange Management Act, 1999 and rules and regulations issued thereunder from time to time. I / We being NRI/ PIO, here acknowledge that I/we are aware of the RBI guidelines in relation to my / our investments in the secondary market in India. I / We hereby agrees to keep myself / our self abreast of the ceiling limits on investments as published by RBI from time to time and also agrees that I / We shall immediately reverse my / our transaction, if such transaction breaches the ceiling limits as imposed by RBI. In case I / we am/ are unable to reverse such transaction immediately, I / we authorize CBL to do so under intimation to me / us. Unless otherwise agreed in writing by CBL, I / we agree and confirm that CBL and I/we shall in no circumstances be considered as persons acting in concert or as persons co-operating with each other (directly or indirectly) or as persons having a common objective or purpose of substantial acquisition of shares or voting rights or gaining control over any company, whose shares are purchased by the CBL for and on behalf of and on account of me / us. I / We understand, agree and confirm to provide copies of Annual Accounts, Returns or any other document that may be asked for by CBL to comply with Prevention of Money Laundering Act,

2002, as amended. If I / we fail to provide the documents, as may be required by CBL, CBL reserves the right to suspend / terminate my / our trading / demat account after giving the proper notice in writing.

**2. Dematerialised securities**

All orders made by me / us shall only be in securities compulsorily traded in the dematerialized form. All deliveries of securities made by me / us shall only be in the dematerialized form.

**3. Authorized Representative**

I / We hereby confirm, undertake and agree to inform CBL in writing any change of authorized representative, failing which I / we shall be responsible for the trade obligations arising out of the actions of such representatives.

**4. Charges**

CBL shall be entitled to debit the charges of the depository participant for the trades and the bank charges for the realization/ return of cheques etc. to my/ our account and all other changes as detailed below.

**User Fees / Other Charges:** CBL may charge me / us fees / other charges for use of any other services (as per the applicable laws, rules and regulations), including but not restricted to Internet Trading related / ancillary services, use of the website platform and the call and trade services, etc.at rates mentioned on the website and intimated to me/ us in writing. Any modification in such rates/ fees/ charges will be notified to me / us by CBL in writing.

CBL shall have right to debit the following charges from my/our account

- (i) Account Set up Charges
- (ii) Documentation Charges
- (iii) All statutory levies such as STT Stamp duty exchange turnover tax, Goods & Services Tax, SEBI fee or any other levy of this nature.
- (iv) Bank Charges (will be levied as per actuals)
- (v) Charges for availing research reports
- (vi) Charges for availing special facility for mobile broking, SMS facility
- (vii) Inter-settlement charges
- (viii) Auction charges
- (ix) Penalties levied by the exchange for client limit violations
- (x) Charges for dishonor of cheques given by the Client
- (xi) Arbitration and Legal expenses in case of dispute resolution, subject to rules and regulations of SEBI / SEBI / Exchanges
- (xii) PMS advisory fee in terms of my agreement with your PMS division provided appropriate invoice with applicable GST or other taxes is issued to me in this regard by the PMS division of CBL.
- (xiii) Any other charges for other services / facilities availed by the Client and communicated by CBL to the client from time to time.

**5. DELAYED REPORTING OF TRANSACTIONS**

I/We hereby confirm and agree that if trades or transactions are reported late to CBL on account of any problems at the exchange or whatever reasons, the client in turn will be subject to late reporting of such transactions.

In addition, any errors reported to the clients for any reason whatsoever will stand subsequently corrected to reflect the transaction that was effected in the market.

**6. RECORDING OF CONVERSATION**

I/We are aware that CBL may record the conversations between my/ our representative and CBL either personally or over the telephone, and here by specifically permits CBL to do so. Such recordings may be relied upon by CBL as and when required to resolve disputes in connection with the trading transactions.

**7. PROPRIETARY TRADING:**

I/We are aware that CBL undertakes proprietary trading in addition to CLIENT based trading.

**8. INCORRECT CREDIT / DEBIT:**

In the event of receiving an incorrect credit / debit by reason of a mistake to my / our account, CBL shall be entitled to reverse such incorrect credit / debit at any time what so ever. I / We shall be liable and continue to remain liable to the CBL for any incorrect gain obtained as a result of the same and CBL reserves the right to take such remedial measures against me / us for recovery of the erroneous credit.

**9. CBL CLIENT COMMUNICATION:**

**a. Electronic Communication of documents**

Whereas I/We separately authorize CBL to send the contract note/trade confirmations of the trades executed, bills and account statements or such other data relating to my/ our trading account with CBL and also authorize Depository Participant to send all bills and/ or transactions statements, communication, welcome letter, scan KYC and information through electronic mail to my/ our email address registered through my/ our, account opening form (KYC) with Centrum Broking Limited and/ or such other designated email address as may be intimated by me/ us to CBL. By means of such authorization, CBL fulfills its legal obligation to deliver to me /us any such document if sent via electronic delivery. I/We agree that the log report generated by the system and the time of sending of the contract notes or other documents shall be treated as the acknowledgement and confirmation of receipt of contract notes and such other documents by me / us provided no bounced mail logs are received by CBL. I / We understand that it is my / our responsibility to review upon first receipt, whether delivered to me / us by mail, by e-mail (including any auto replies from the system of CBL), or other electronic means, all confirmations, statements,

notices contracts, bills and other communications .All information contained therein shall be binding upon me/ us ,if I/we do not object, either in writing or via electronic mail preferably within twenty four hours after any such document is received by me/ us. In all cases, CBL reserves the right to determine the validity of my / our objection to the transaction. CBL may, on request by me / us and at such additional cost to me / us, send hard copies of the contract notes or such other documents. Further non receipt of bounced mail notification by CBL shall amount to delivery of contract note at my / our email ID.

**b. SMS facility authorization**

I/We hereby authorize CBL to send investment information via SMS, and confirm voluntary acceptance of the SMS facility and will not hold either CBL or the SMS Service Provider acting on CBL's behalf, liable for the same. I / We confirm that the information so communicated will not be unsolicited or would not be any defamatory communication as it is transactional in nature and will not violate the Telecom Unsolicited Commercial Communications, Regulations, 2007 or any other person about the SMS received from CBL. I / We hereby consent and shall not have any objection in the event I / we receive any communication for sales promotion of the various products offered / to be offered by CBL or any of its group companies via SMS, mail, email, or any other form of communication and it will not amount to violation of any other provisions of law as may be applicable even if I/We is/ are registered under DND under TRAI guidelines.

In case, I/we do not wish to continue to receive any such communication, I/we shall intimate CBL in writing and CBL shall discontinue sending such communication within 7 working days.

**c. Change of Address**

Unless I/we inform CBL of the change of the address for communication, electronic or otherwise, in writing, all notices, circulars, communication or mail sent to the existing address shall be deemed to have been properly sent to or served upon me/us by CBL, I/We undertake and agree to inform CBL of the change in the designated email address.

**d. Exposure to the client**

The client understands that any debit amounts due are not cleared within T+2+5 days (T being the Trading day) no further trading exposure shall be granted by CBL as per regulations. The stocks acquired by the client during this period if remains unpaid then CBL shall be entitled to retain those securities up to five trading days after the Settlement day. Further, if the Funds Obligation is still outstanding beyond T+2+5 CBL shall have the right to liquidate the securities to recover the dues along with

Delayed Payments charges as applicable without the requirement of any pre-trade client confirmation.

**10. NO RECOURSE TO STOCK EXCHANGES / SEBI**

I / We understand that I / we shall not have recourse to dispute redressal mechanism / arbitration mechanism / investor protection schemes of the Stock Exchanges / SEBI. In case I / we avail the services under any schemes / leagues / competitions etc., offered by any third party / group company / associate of the CBL.

**11. SHARING OF INFORMATION:**

I / We agree and confirm that CBL may appoint agents / representatives, service providers etc. ("Authorized Parties"), subject to Rules , Regulations, Bye-laws or other Guidelines issued by Exchanges / SEBI, for carrying out the acts mentioned in or in relation to these Terms & Conditions. I / We understand that CBL may need to share my / our information with such agents/ representatives, service providers, etc. I / We shall have no objection to CBL sharing my / our information / documents / data to such agents / representatives, service providers or to group companies of CBL for the purpose of carrying out or facilitating acts mentioned in or acts ancillary to or in relation to these Terms & Conditions.

**12. ASSIGNMENT**

I / We hereby confirm and agrees that I / we shall not assign or transfer all or any of its rights, obligations and or benefit without the full and final settlement of my/ our account with CBL and without the prior consent of the CBL. CBL shall be entitled to assign its rights, obligations and / or benefits to any successor entities, affiliate entities in its absolute discretion, with notice thereof to me / us in writing.

**13. DISCLOSURE OF INFORMATION**

I / We hereby expressly authorize and permit CBL and each of its authorized representatives (including but not limited to its officers, employees and agents) to divulge, reveal or disclosure any or all of the particulars of my/our account and any personal information and information relating to any transaction or dealings between me/us and CBL:

- a) to the auditors, legal advisors and other professional advisors of CBL and the Authorized Parties;
- b) to any person or organization participating in the provision of electronic or, without limitation, other services in connection with services utilized by me/ us, for the purpose of the operation of the Account including but not limited to investigating discrepancies or claims;
- c) to any third party printer; agent or storage or data warehouse-keeping or archival service provided including but not limited to any provider of microfilm service or any electronic storage, archival or recording facility) for the

purpose of making, printing, mailing, storing, microfilming and / or filing statements of accounts, labels, mailers or any other document or items on which my / our name and / or other particular appears, or any data or record of any document whatsoever;

- d) to the police or any other public officer or any representative of any governmental or regulatory body conducting an investigation in connection with any offence;
- e) to any Exchange, government or regulatory body or governmental (including quasi-governmental) authority or tribunal or courts of India or other jurisdictions, including the jurisdictions in which the Client has traded or where any of CBL's overseas business operations are situated;
- f) to any of the Authorized Parties for purposes of centralization of operations within CBL or the Centrum Group, for purposes in connection with business planning, restructuring and strategy and for the purpose of promoting, marketing or cross-selling of financial products and services to me / us;
- g) to any credit bureau (including the members of such credit bureau of which CBL is a member), rating agency, insurer, or any other provider of credit protection to CBL and / or any of the Authorized Parties of the client.
- h) to any assignee or transferee or prospective assignees or transferees of CBL's credit facilities, business and undertakings or such part thereof;
- i) to any person or entity participating in merger / acquisition or proposed merger / acquisition of CBL or its holding company with / by another company.

I / We hereby authorize CBL to make such enquiries and carry out such credit checks on me / us and to obtain from any third party (including any credit bureau or credit agency) any and all of my / our information as CBL may in its discretion deem fit, and I / We undertake to execute and deliver such document, including appropriate letters of authorization, as CBL may require for the purpose of such enquires, credit checks and assessments.

**14. CBL'S LIABILITY**

I / We understand that under no circumstances shall CBL or anyone involved in creating, producing, delivering or managing CBL's services, pursuant to these mandatory and voluntary client registration documents and Terms & Conditions, be liable for any direct, indirect, incidental, special or consequential damages, loss caused to me / us, including loss of profits that result from the use of or inability to use the service, delay in transmission of any communication, in each case for any reason beyond CBL's reasonable control (including on account of breakdown in systems) or out of any breach of any warranty or due to any fraud committed by any third party or any act beyond

reasonable control of CBL. CBL shall not be liable / responsible for any statement received from fraudster imposters or for any consequences thereof.

**15. REPRESENTATIONS AND WARRANTIES**

- (i) I/We hereby represent and warrant that these Terms & Conditions have been clearly understood and that the details provided by me / us in the Know Your Clients documents and such other ancillary documents submitted to CBL is complete, accurate and truthful. I/We undertake to inform CBL of any change in the information or details furnished by me/ us to CBL.
- (ii) I / We confirm that I / we are of legal age and have received, read and understood the Risk Disclosure Document, Rights & Obligations, Guidance Note and the Policies and Procedures of CBL;
- (iii) I/We confirm that I / We am /are aware of the Prevention of Money Laundering Act (PMLA), 2002 and Rules thereunder and that I / we have not violated any of the provisions and rules of the said act.

**16. CONFLICT BETWEEN TERMS AND CONDITIONS AND GUIDELINES**

These Terms and Conditions are subject to Government notifications, any rules, regulations, guidelines, circulars issued by the SEBI and Rules, Regulations, Bye - Laws, Guidelines and Circulars of the Exchange (s) that may be in force from time to time (herein after referred to as the Guidelines). In case of any conflict between any of the terms and conditions of this document and the Guidelines, the Guidelines shall prevail.

**17. STAMP DUTY**

I / We understand that any stamp duty or levy (including interest or penalty levied thereon) payable on any of the Client Registration Documents, Contract Notes, agreements, deeds or documents executed in pursuance of provision of services to me / us by CBL shall be borne and paid by me / us.

**18. DISCLAIMER**

All investments and disinvestment decisions are based on my / our own evaluation of financial circumstances and investments objectives. This extends to any decision made by me / us on the basis of any information that may be made available by CBL /Sub-Broker / Authorized person through its website www.centrumbroking.com or through any other media. I/ We will neither hold, nor seek to hold CBL / Sub Broker / Authorized person, as the case may be, or any of its officers, directors, employees, agents, subsidiaries and / or associate companies(as per Companies Act and / or SEBI Regulations) and employees, directors and agents thereof liable for any trading losses,

costs or damage incurred by me / us consequent upon relying on investment information, research opinion or advice or any other material / information provided by CBL / Sub Broker / Authorized person, as the case may be. I am / We are aware that any information provided by CBL through any medium based on the research of CBL or other external sources is subject to normal variations in the stock market and is merely an estimation of the availability or otherwise of certain investments, and CBL shall not be responsible for nor deemed to have assumed responsibility for any such information. I / We should seek independent professional advice regarding the suitability of any investment decision before acting on such reports and CBL shall not be liable under any circumstances for any losses, costs, charge, expenses incurred/ suffered by me/ us based on such reports.

**19. DECLARATION OF AGE OF MAJORITY (in case of Individuals only)**

I / We understand that a person is deemed to have attained the age of Majority when he attains 21years of age in case of Minor whose Guardian is court-appointed or property is superintended/ assumed by any Court or Officer of any Court. In all other cases a Minor attains age of majority when he / she attains 18 years of age.

I / We hereby declare that:

I / We and all joint holders in the associated DP account have all attained the age of Majority (are not minors);

OR

The holder of the DP account associated with the trading account is a Minor, who will attain the age of majority on \_\_\_\_\_ (date).

**20. CONTACT DETAILS IN APPLICATION FORM**

The mobile number and / or e-mail id as provided by me/us in the Application Form are used by and / or are the Contact details of \_\_\_\_\_

(name and relationship to applicant- contact details of only self, spouse, dependent children and dependent parents are allowed). I / We fully understand that any communications made to / alerts and messages sent at those contact details would be deemed to be sent to and received by me / us and the same shall be binding on me / us.

For verification of any of my details mentioned in the Application Form, I / we can be contacted at \_\_\_\_\_ mobile number) and / or \_\_\_\_\_ e-mail).

F20 \_\_\_\_\_ 

**Signature of the Client**

**Name:**



**Centrum Broking Limited  
(For Office Use)**

Acquisition RM: \_\_\_\_\_  
(Name & Employee Code No.)

RM: (Broking/ Wealth): \_\_\_\_\_  
(Name & Employee Code No.)

Broking RM: \_\_\_\_\_  
(Name & Employee Code No.)

Dealer: \_\_\_\_\_  
(Name & Employee Code No.)

AP Name / Code: \_\_\_\_\_

SRM: \_\_\_\_\_



Grievance Email ID: [investor.grievances@centrum.co.in](mailto:investor.grievances@centrum.co.in) Website: [www.centrumbroking.com](http://www.centrumbroking.com)

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