

# COCHIN STOCK BROKERS LIMITED

Subsidiary of CSE HOLDINGS LIMITED

[Formerly Our Investments Enterprise Ltd. (OIEL)]

CIN: U67120KL1999PLC013552 PAN : AABCC9652N GSTIN : 32AABCC9652N1ZD



**SEBI Registration No. & Date** : INZ000195533, Date: AUGUST 24, 2018

**DP ID** : 12023900

**SEBI Regn. No.** IN-DP-260-2016, MCX No.

Approved Person of Central Insurance Repository Ltd.(AP-1190) CIRL-IRDA/IR2/2014/238

Mutual Fund – ARN78992

**Registered Office Address** : MES Dr. P K Abdul Gafoor Memorial Complex, 65/608,  
4<sup>th</sup> Floor, Judges Avenue, Kaloore, Cochin – 682017.  
Tel : 0484- 3500941 Dir No.(DP)  
Email: csbllegal@csbl.co.in, csbllegal@gmail.com  
Website: www.csbl.co.in

**Correspondence Office Address** : MES Dr. P K Abdul Gafoor Memorial Complex, 65/608,  
4<sup>th</sup> Floor, Judges Avenue, Kaloore, Cochin – 682017.  
Tel : 0484 4865174 Dir No.(DP)  
Email: csbllegal@csbl.co.in  
Website: www.csbl.co.in

**Compliance Officer Name** : Paul Raphael

**Phone no** : 0484-3500941, 8921555693, 8075225142, 6282014452, 8921190725

**E mail id** : csbllegal@csbl.co.in, , csbllegal@gmail.com

For any grievance/dispute please contact stock broker: Cochin Stock Brokers Limited at the above address or email at csbl\_grievance@csbl.co.in, dp\_grievance@csbl.co.in or call on 0484-4865174. In case not satisfied with the response, please contact the concerned exchange(s). For **BSE** mail at is@bseindia.com or call on (022)- 2272 8097, for **NSE** mail at ignse@nse.co.in or call on (022) – 2659 8190, For MCX mail at grievance@mcxindia.com or call on (022)-66494151. For **SEBI**: <http://scores.gov.in>, SEBI Toll Free Helpline: 1800 22 7575 or 1800 266 7575

Blank Page



# COCHIN STOCK BROKERS LIMITED

## ACCOUNT OPENING KIT AND INDIVIDUAL CLIENT REGISTRATION

### INDEX OF DOCUMENTS

Sr. No.	Name of the Document	Brief Significance of the Document	Page No
---------	----------------------	------------------------------------	---------

#### MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, EXCHANGES & DEPOSITORY

1	Account Opening Form	A. KYC form ( First holder of Demat and Trading account),KYC form ( All Joint holders of demat account ) Type of DP account and instruction/ check list for individuals & non individuals.  B. Details of Guardian, Bank details, Other details, Nomination details, Tariff of CSBL DP.	7 - 17
2	SMS Alerts	SMART = SMS Alerts Related to Transactions CDSL's convenient, informative SMS alert facility	18 - 20
3	Additional information about the constituent relevant to trading account	Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	21 - 27
4	Policies and Procedures for Trading Account	Document describing significant policies and procedures of the stock broker (to be added by the stock broker).	28 - 30
5	Tariff Sheet for Trading Account	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) (to be added by the stock broker).	31

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

6	Most Important Terms and Conditions (MITC)		32
7	Client Commodity Wise Categorisation		33
8	Investor's Rights and Obligations	To provide basic information or insight to the client about their rights and obligation related to their transactions in Securities Market	34 - 35
9	Running Account Authorization	Helps the client to enjoy exposures linked to credit in the trading account.	36 - 37

10	Consent for Smooth Operational Convenience for CASH/ F&O/ Currency Segment	To enable the trading member to act upon the clauses mentioned in the consent for smooth operational convenience	38- 39
11	Consent for Securities as Collateral	To enable the trading member to act upon the clauses mentioned in the consent for smooth operational convenience	40
12	'Demat Debit and Pledge Instruction' (DDPI)	Client Instruction for transfer of securities towards deliveries / settlement obligations and pledging / re- pledging of securities	41-42
13	Authorisation for sending of statement of accounts of Beneficial Owner (BO) account through e - mode	For operational convenience of transactions	43
14	Non mandatory	Format of letter to be obtained from a Bank to establish operation of Bank Account, Personal Identity and Signature	45
15	FATCA Declaration		47-48

## Mandatory Documents

### CUSTOMER COPY - PROVIDED BY THE STOCK BROKER

16	Rights and Obligations.	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	50 -52
17	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker / Authorized Person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	53 -57
18	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	58-61
19	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	62- 63



# COCHIN STOCK BROKERS LTD.

## APPLICATION FOR OPENING

- |   |                         |
|---|-------------------------|
| 1. <input type="checkbox"/> Depostory Participant Account | (Page 4 - Page 15)      |
| 2. <input type="checkbox"/> Trading Account               | (Page 4 & Page 16 - 34) |

### Note 1. ( DP A/c ) :

1. Seperate KYC Form (Page 4) is needed for all joint holder applicants with self attested copies of relevant proofs.
2. Bank account must be in the name of first applicant.

### Note 2. ( Trading A/c ) : -

1. Individual Trading Account can only be opened in the name of first holder of Demat and Bank Account.
2. Trading account can't open in joint holder status.
3. Minor can't open trading account.
4. For NRI's PIS bank account is compulsory

Blank Page

**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual**
**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.  
 B) Please fill the form in English and in BLOCK letters.  
 C) Please fill the date in DD-MM-YYYY format.  
 D) Please read section wise detailed guidelines / instructions at the end.

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


**For office use only**

Application Type\*

☐ New ☐ Update

(To be filled by financial institution)

KYC Number

(Mandatory for KYC update request)

Account Type\*

☐ Normal ☐ Simplified (for low risk customers) ☐ Small

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

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

**X 2**

**PHOTO**  
 Please affix recent passport size photograph and Sign across

Signature / Thumb Impression

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

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

ISO 3166 Country Code of Jurisdiction of Residence\*

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

Place / City of Birth\*

ISO 3166 Country Code of Birth\*

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

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

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

**4. PROOF OF ADDRESS (PoA)\***
☐ **4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS** (Please see instruction D at the end)

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

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)		
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input type="text"/>	
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

**Address**

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	City / Town / Village / District* <input type="text"/> Pin / Post Code* <input type="text"/>
District*	State <input type="text"/> Country <input type="text"/> State / U.T Code* <input type="text"/> ISO 3166 Country Code* <input type="text"/>



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

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

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

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

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

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

☐ 5. CONTACT DETAILS

FAX						Tel. (Res)						Mobile									
						Email ID															

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

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available) Guardian of Minor

Related Person Type\* ☐ Assignee ☐ Authorized Representative

Name\* Prefix First Name Middle Name Last Name

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

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

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

☐ 7. REMARKS (if any) (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)


8. APPLICANT DECLARATION

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

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

Date : DD-MM-YYYY Place :

(Signature / Thumb Impression)

X 3 Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

IPV & KYC VERIFICATION CARRIED OUT BY

Date	DD-MM-YYYY									
Emp. Name										
Emp. Code										
Emp. Designation										
Emp. Branch										

(Employee Signature)

INSTITUTION DETAILS

Name	COCHINSTOCKBROKERS LTD																			
Code	1100023900																			







# COCHIN STOCK BROKERS LTD.

Regd. Office : MES Dr. P. K. Abdul Gafoor Memorial Cultural Complex, 65/608, 4th Floor,  
Judges Avenue, Kaloore, Kochi - 682 017 Tel: 0484-3500941, 8921555693, 8075225142, 6282014452, 8921190725  
Sebi Regn No. IN-DP-2602016

## Additional KYC Form for Opening a Demat Account

To be filled by DP Office

Application No.											Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																			
DP ID	1	2	0	2	3	9	0	0	Client ID										

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

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

### Holders Details

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

\* If joint A/c separate KYC form to be attached along with relevant self attested proof.

### Second Holder's Details

Father / Husband Name	
Permanent Address (Proof to be attached)	

### Third Holder's Details

Father / Husband Name	
Permanent Address (Proof to be attached)	

\* 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.

### Type of Account (Please tick whichever is applicable)

Status	Sub - Status
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Minor <input type="checkbox"/> Individual Margin Trading A/C (MANTRA) <input type="checkbox"/> Others(specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others (specify)_____

Guardian's Photograph  
& sign across it

(if applicable)

**\* Details of Guardian (in case the account holder is minor)**

\* Proof of birth certificate to be attached.

Guardian's Name		PAN	
Relationship with the applicant			

Guardian's Address & Proof
----------------------------

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
---	--

I / We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instructions from my/our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
--	--

Account Statement Requirement	<input type="checkbox"/> Hard Copy <input type="checkbox"/> Digital Copy <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly Statement will not be sent if no transaction or no security holding in the account.
-------------------------------	---

I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID of Ist Holder .....	<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 <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)
--

I/We wish to receive dividend / interest directly in to my bank account given as 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
---	--

**Bank Details [Dividend Bank Details]**

Bank Code (9 digit MICR code)									
IFS Code (11 character)									
Account number									
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify)_____								
Bank Name									
Branch Name									
Bank Branch Address									
City		State		Country		PIN code			

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
- (ii) Photocopy of the Bank Statement having name and address of the BO
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank.
- « In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

## C. OTHER DETAILS

Gross Annual Income Details		Income Range per annum: <input type="checkbox"/> Below ₹1,00,000 <input type="checkbox"/> ₹ 1,00,000 to ₹ 5,00,000 <input type="checkbox"/> ₹ 5,00,001 to ₹10,00,000 <input type="checkbox"/> ₹ 10,00,001 to ₹ 25,00,000 <input type="checkbox"/> More than ₹ 25,00,000
Net-Worth in Rs. (should not be older than 1 year )	Rs.	Net Worth as on (Date) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Occupation		<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____
Please tick if, applicable		<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (R)ED
Any other information		




<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure - 2.4</b>	MOBILE NO. +91 _____ [(Mandatory , if you are giving Demat Debit and Pledge Instruction ( DDPI)] (if Demat Debit and Pledge Instruction ( DDPI is not granted & you do not wish to avail of this facility, cancel this option)												
Transactions Using Secured Texting Facility ( <b>TRUST</b> ). Refer to Terms and Conditions <b>Annexure - 2.4</b>	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. 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												
	<table border="1"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>		Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)								
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)											
Easi	To register for easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . or contact your DP Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.												



# Nomination Form

## FORM FOR NOMINATION

[illegible]

City / Place: State & Country:				
	PIN Code			
13	Mobile / Telephone No. of Guardian			
14	Email ID of Guardian			
15	Relationship of Guardian with nominee			
16	Guardian Identification details – [Please tick any one of following and provide details of same]  <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
Name(s) of holder(s)				Signature(s) of holder*
Sole / First Holder (Mr./Ms.)			 X 5 A	
Second Holder (Mr./Ms.)			 X 5 B	
Third Holder (Mr./Ms.)			 X 5 C	

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

Details of the Witness	Witness No. 1	Witness No. 2
Names 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)

Nomination Form accepted and registered vide Registration No. \_\_\_\_\_ dated \_\_\_\_\_

For Trading Member / Depository Participant  
(Authorised Signatory)

Declaration Form for opting out of nomination  
**[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on  
Mandatory Nomination for Eligible Trading and Demat Accounts]**

To	Date							
Trading Member/Participant's Name	<b>COCHIN STOCK BROKERS LTD.</b>							
Trading Member/Participant's Address	Regd. Office : MES Dr. P. K. Abdul Gafoor Memorial Cultural Complex, 36/1565, 4th Floor, Judges Avenue, Kaloore, Kochi - 682 017 Tel: 0484 - 3048500, Sebi Regn No. IN-DP-2602016							
UCC								
DP ID								
Client ID (only for Demat account)								
Sole/First Holder Name								
Second Holder Name								
Third Holder Name								

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 and Signature of Holder(s)\***

1. \_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_

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

Details of the Witness	Witness No. 1	Witness No. 2
Names of Witness		
Address of Witness		
Signature of Witness		




Declaration Form for opting out of nomination accepted

For Trading Member / Depository Participant  
(Authorised Signatory)

## **TARIFF OF CSBL DP**

Sl.No	SERVICE DESCRIPTION	CSBL DP TARIFF STRUCTURE
1	Account Opening/Closure	NIL
2	ANNUAL MAINTENANCE CHARGES	* Rs. 450/- for individuals and Rs. 600 for NRI * Rs. 1000/- for Non-trading clients * Rs. 1000/- for Corporate
3	AMC-BSDA	NIL - Holding Value up to Rs:50,000/-;
3.1	(Only one demat account is applicable in the name across all depositories. General tariff is applicable when BSDA exceeds the prescribed criteria at any day)	* Rs. 100/- Holding value from 50,001/- to Rs. 2,00,000/-
4	Sales (Market / Off-Market)	* Rs. 12/- For Market Debit Transaction with CSBL * Rs. 30/- For Off - Market Intra DP transaction with CSBL * Rs. 75/- For Off - Market Inter DP transaction / 0.07% of scrip value whichever is higher
5	Purchase	NIL
6	Custody Charges	NIL
7	Dematerialisation - trading clients  Dematerialisation – for non-trading clients	*Rs.100/-per DRF or Rs.15 per certificate (whichever is higher) + courier charges *Rs.150/-per DRF or Rs.15 per certificate (whichever is higher) + courier charges
8	Rematerialisation - trading clients Rematerialisation Non-trading clients	* Rs.100/-per RRF or Rs.15 per certificate (whichever is higher) * Rs. 150/-per RRF or Rs.15 per certificate (whichever is higher)
9	Demat Rejection Charges	Courier / Postage Charges
10	Pledge Creation -trading clients Non-trading clients	*Rs. 45/- per scrip *Rs. 75/- + tax / 0.07% market value of the share whichever is higher
11	Unpledge -trading clients Non-trading clients	*Rs. 45/- per scrip * Rs. 75/- + tax / 0.07% market value of the share whichever is higher
12	Margin Pledge/Unpledge	* Rs. 11/- per scrip
13	Other charges	Additional DIS Book 5 Pages - *Rs.20\-
14	DDPI/Stamp Charges and notary charges	* Rs. 150/-
15	KRA charges	* Rs. 35/-
16	Cheque cancellations / bounce	* Rs. 250/- or charges as determined by our banks whichever is higher
17	Printed Statement Request	* Rs. 50/- per request (through post)+courier charges
18	Debt Instruments	0.01% of the value of securities.
19	Mutual Funds/DeStat	0.025% Investment Value or transaction fees ` 100/- applicable for investment worth above ` 10000/- whichever is higher Below Investment worth `10000/- no fees
★ All charges are exclusive of taxes, levies and other statutory charges. ★ Charges are collected upfront by local cheque or it will be debited to trading account of Sole/ Joint demat account holder maintained with CSBL ★ For BSDA accounts, value of holding will be determined on a daily basis ★ The above charges are subject to change with 30 days prior intimation.		



	<b>First/Sole Holder or Guardian (in case of Minor)</b>	<b>Second Holder</b>	<b>Third Holder</b>
Name			
Signatures	 <b>X 6 A</b>	 <b>X 6 B</b>	 <b>X 6 C</b>

I / We .....am /are fully conversant with the norms of CSBL, DP and hereby voluntarily undertakes for the following

1. Fully abide by the tariff of the CSBL, DP.
2. Mr./Ms./M/s.....shall be my authorized agent for collecting all documents pertaining to my DP account and signature of the authorized agent is attested below.
3. The holding details can be viewed through Nodal Branch/Introducing Broker
4. I hereby certify that I have not been convicted by any court for any offence involving moral turpitude, economic offence, securities laws or fraud. I further certify that I have not been declared insolvent and that no order on grounds of insider trading, fraudulent and unfair trade practices or market manipulation has been passed against me by SEBI or any other regulatory authority.
5. I..... having Dp A/C No. .... with the depository participant, hereby gives my consent to debit arrears related to “transaction charges, postage charges as well as AMC arising in respect to CSBL – DP activities,” from my trading account number .....with CSBL
6. I wish to open regular demat account.
7. I/We have received and read the rights and obligations document and terms & conditions 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 change(s) 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.

Name and Signature of the Authorised Agent.....

Strikeout whichever is not applicable.

If NRI Client ☐ Yes ☐ No

✱ For NRI Clients : Whenever there is a change in the Residential Address I will inform the D. P.

*Declaration : - I hereby declare that, I have complied with, and will continue to comply with FEMA/FATCA regulations and other applicable laws.*

## OPTION FORM FOR ISSUE OF DIS BOOKLET




Select one of the options given below. On selecting option 2 the Account Opening Kit will be sent through e-mail.

☐ **OPTION 1:**

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 Demat Debit and Pledge Instruction (DDPI) / executed PMS agreement in favour of / with COCHIN STOCK BROKERS LTD. (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.

☐ **OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a Demat Debit and Pledge Instruction (DDPI) / executed PMS agreement in favour of / with COCHIN STOCK BROKERS LTD (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange 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.

	<b>First/Sole Holder or Guardian (in case of Minor)</b>	<b>Second Holder</b>	<b>Third Holder</b>
Name			
Signatures	 <b>X 7 A</b>	 <b>X 7 B</b>	 <b>X 7 C</b>

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

<b>Details of introducer</b>
Name / Designation
Address of the Authorized Person
Phone or Mobile No.
A P Regn. No.

I/We Confirm the Identity and address of the applicant (S)

Signature of the Introducer

---

### FOR OFFICE USE ONLY

☐ (Originals verified) True copies of documents received

☐ (Self-Attested) Self Certified Document copies received

(.....)  
**Signature of the Authorised Signatory**

**Date** .....

**Seal/Stamp of the intermediary**

# COCHIN STOCK BROKERS LTD.

(Subsidiary of CSE HOLDINGS LIMITED)

Depository Participant -CDSL

65/608 -A-17, 4TH FLOOR ME S BUILDINGS, JUDGES AVENUE, KALOOR, COCHIN - 17.

Phone : 0484-3500941, 8921555693, 8075225142, 6282014452, 8921190725 Email : dp@cochinstockexchange.com

Website : www.cochinstockexchange.com SEBI Re. No. IN-DP-CDSL-147-2001. DP ID 12023900

## ANNEXURE - 2.4 SMART = SMS Alerts Related to Transactions

*CDSL's convenient, informative SMS alert facility*

### Features :

- SMS alerts to demat account holder for any debit and IPO / Corporate Action credits to the demat account.
- SMS Sent directly by CDSL

- ☐ Yes ! I /We would like to register for CDSL's **SMART** facility
- ☐ Registration details are given below.
- ☐ Terms and Conditions are acceptable to me / us available on CDSL's Website : www.cdsindia.com

### Governing Law and Jurisdiction :

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **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 purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/we have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/we further undertake to pay fee / charges as may be levied by the depository from time to time

I/we further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/we am / are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/we provide the following information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable).

BOID 

1	2	0	2	3	9	0	0	0	0						
---	---	---	---	---	---	---	---	---	---	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit client ID)

Sole / First Holder's Name : .....

Second Holder's Name : .....

Third Holder's Name : .....

Mobile Number on which messages are to be sent 

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

(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of : .....

Email ID : .....

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

Signatures  **X 8** Sole / First Holder

Second holder

Third holder

Place : .....

Date : .....

Dear Sir / Madam,

Congratulations on opening your demat account with CSBL. We are sure that operating your CDSL demat account has been an enjoyable and cost-effective experience for you. We, at CSBL, are unflagging in our efforts to provide you with convenient, dependable and secure depository services. Through this communication, we seek to convey some simple but important requests (in "DOs and DON'Ts" format), to help you operate your CSBL demat account.

#### DOs

- ☒ Please keep a copy of the DRF and Share certificates (that contain the distinctive numbers of your shares), before sending the shares for demat.
- ☒ Check the demat requests clearing performance of the company with your DP before deciding to send share certificates for demat.
- ☒ Ensure that, both, your holding and transaction statements are received periodically. You are entitled to receive a transaction statement every month if you have done any transactions and once a quarter if there have been no transactions in your account.
- ☒ Check the statement on receipt. In case you notice any unauthorized debits or credits, contact your DP for clarification. If not resolved, you may contact CDSL.
- ☒ Keep the instruction slip book in your safe custody.
- ☒ Check your balance on real-time basis through easi.
- ☒ While giving debit instructions to your DP, ensure that all joint holders, if any, of the demat account sign the slip.
- ☒ Accept the DIS book from your DP only if each slip has been pre-stamped / printed with a serial number and your demat account number.
- ☒ Always mention details like ISIN, number of securities, etc. accurately. If in doubt, contact your DP or your broker.
- ☒ Authorize any corrections, over-writing or cancellations on the instruction slips by signing against the same.
- ☒ If there is space for multiple instructions and it is not used fully, please strike out the blank space for furnishing securities details.
- ☒ Inform your DP of change, if any, in address, telephone number, etc. as early as possible.

#### DON'Ts

- ☒ Do not leave your instruction slip book with anyone else.
- ☒ Avoid pre-signing of blank DIS, as it is equivalent to a bearer cheque.
- ☒ Avoid over-writing, cancellations, misspellings, changing of name and quantity of securities, etc., while using the instruction slips, demat request forms, etc.

You will appreciate that the above steps would enable you to enjoy hassle-free operation of your demat account.

**Family Declaration:**




Please fill up below declaration in case Email/Mobile is already updated in sole/first holder account and wish to update same details for Family Member as per SEBI guidelines

I and my family member hereby request that mobile number being .....and Email ID being ....., belonging to sole/first account holder shall be considered in your records for the purpose of receiving communication from you or your Stock Exchanges or Depository with regard to details of trading /DP transactions executed through you. Thus any communication relating to our trading and demat account should be sent to the above mentioned mobile number and Email Id. This facility shall be extended to us as an exception, for our convenience of receiving transaction details at a single mobile number and email id . I understand that for the purpose of availing the above facility “family” means self ,spouse,dependent children and dependent parents.

Client Name	Client Code	Relationship with sole/1st holder	Signature
		Spouse/Mother/Father/Son/Daughter	
		Spouse/Mother/Father/Son/Daughter	

Declaration : I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

In case of email/mobile updation, I hereby give consent to receive all communication from CSBL on the above mentioned email/mobile number

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

Mode of operation for Execution of transactions (Transfer, Pledge & Freeze)

Jointly <input type="checkbox"/>	Anyone of the Holder <input type="checkbox"/>
----------------------------------	---

Consent for Communication to be received by first account holder / all Account holder: (Tick the applicable box. If notmarked the default option would be **first holder**.)

First Holder <input type="checkbox"/>	All Holder <input type="checkbox"/>	Email ID
	Second Holder <input type="checkbox"/>	
	Third Holder <input type="checkbox"/>	



## Application For Opening Trading Account with Cochin Stock Brokers Ltd.

Client Code : .....

Name & Address  
of Authorized Person : .....

.....

.....

### Note :

1. Individual Trading Account can only be opened in the name of first holder of Demat and Bank Account.
2. Trading account can't open in joint holder status.
3. Minor can't open trading account.
4. For NRI's PIS bank account is compulsory

Blank Page



# TRADING ACCOUNT RELATED DETAILS

## For Individuals

A. OTHER DETAILS			
Gross Annual Income Details (please specify): Income Range per annum	<input type="checkbox"/> Below Rs 1 Lac	<input type="checkbox"/> 1-5 Lacs	<input type="checkbox"/> 5-10 Lacs
	<input type="checkbox"/> 10-25 Lacs	<input type="checkbox"/> 25 Lacs	
or			
Net-worth as on (date): (enclose supporting document)	.....	Amount	Rs.
(Net worth should not be older than 1 year)			
Occupation : (please tick any one and give brief details):	<input type="checkbox"/> Private Sector <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Others .....	<input type="checkbox"/> Public Sector <input type="checkbox"/> Professional <input type="checkbox"/> Housewife	<input type="checkbox"/> Government Service <input type="checkbox"/> Agriculturist <input type="checkbox"/> Student
Details :	.....		
Please tick, if applicable:	Politically Exposed Person (PEP)		<input type="checkbox"/>
	Related to a Politically Exposed Person (PEP)		<input type="checkbox"/>
Any other information:			

## B. BANK ACCOUNT(S) DETAILS (in order of preference)







Details	Bank 1	Bank 2
Bank Name		
Branch address		
Bank A/c Number		
Account Type (SB/CA/NRE/NRO)	SB <input type="checkbox"/> CA <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/>	SB <input type="checkbox"/> CA <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/>
MICR No.		
IFS Code		
Default	Bank1 <input type="checkbox"/>	Bank2 <input type="checkbox"/>

## C. DEPOSITORY ACCOUNT(S) DETAILS

Details	DP 1	DP 2
Depository Participant Name		
Depository Name(NSDL/CDSL)		
Beneficial Name		
DP ID		
Beneficial ID(BO ID)		
Default	DP1 <input type="checkbox"/>	DP2 <input type="checkbox"/>

#### D. TRADING PREFERENCES

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

Exchanges		NSE, BSE & MSEI		MSEI MCX, NCDEX, BSE & NSE	
All Segments	Cash/ Mutual Fund	F & O	Currency	Debt	Commodity Derivatives
 <b>X9</b>	 <b>X9</b>	 <b>X9</b>	 <b>X9</b>	 <b>X9</b>	 <b>X9</b>
If you do not wish to trade in any of the segments/Mutual Fund, please mention here <hr/>					

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

#### E. PAST ACTIONS

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

Yes ☐ No ☐

If Yes attach annexure giving details

#### F. DEALINGS THROUGH SUB-BROKERS / AUTHORIZED PERSON AND OTHER STOCK BROKERS

- If client is dealing through the Sub-Broker / Authorized Person, provide the following details:

Authorized Person's Name: .....

AP Registration number: .....

Registered office address: .....

Ph: ..... Fax: ..... Website: .....

- Whether dealing with any other stock broker / Authorized Person (in case dealing with multiple stock brokers / Authorized Person, provide details of all)

Yes / No

Name of stock broker:.....

Name of Authorized Person, if any:.....

Client Code: .....Exchange: .....

Details of disputes/dues pending from/to such stock broker / Authorized Person: .....

- Whether KYC - KRA registered with any other intermediary ( ☐ Yes / ☐ No)

Detail.....

## G. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): .....

Specify your Email ID, If applicable : .....

- Whether you wish to avail of the facility of internet trading/ wireless technology ( ☐ Yes / ☐ No)

(If Yes, please specify) : ☐ NEST Trader Web ☐ NEST Mobile ☐ NOW  
☐ Fastrade

- Number of years of Investment/Trading Experience: .....

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

- Any other information: .....

## H. INTRODUCER DETAILS (optional)

Name of the Introducer:

...../...../.....  
(Surname) (Name) (Middle Name)

Status of the Introducer: Remisier/Authorized Person/Existing Client/Others, please specify .....

Address and phone no. of the Introducer: .....

Signature of the Introducer: .....

Phone : .....

## DECLARATION

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

 **X10**

**Place** \_\_\_\_\_

( \_\_\_\_\_ )

**Date** \_\_\_\_\_

**Signature of Client**

## FOR OFFICE USE ONLY

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

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name			
Employee / Member Code			
Designation			
Date			
Signature			

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

.....  
**Signature of the Authorised Signatory**

**Date** .....

**Seal/Stamp of the stock broker**

### INSTRUCTIONS/ CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list: (to be submitted every year)

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

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

3. Demat master or recent holding statement issued by DP bearing name of the client.

4. For individuals:

- 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 client resides may be permitted.

5. For non-individuals:

- Form need to be initialized by all the authorized signatories.
- Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

## POLICIES & PROCEDURES

**Policies with respect to orders in Penny Stocks:** The term Penny Stocks could be used to refer to stocks trading at a price less than Rs10 or at a price less than the face value. These stocks have less liquidity and small trading volumes, which make them prone to price manipulation. The clients are cautioned to exercise due care while dealing in Penny Stocks as trading in such stocks are very risky. To check excess volatility and chances of price manipulation the list of such stocks are put out by the Exchanges on a monthly basis in special categories and it is for the clients to exercise due diligence while dealing with such stocks. Permissions to deal/providing limits in such stocks is at our sole discretion and we may choose to allow or disallow clients in dealing on them depending on a number of factors including regulatory norms, our risk management system etc.

**Client's Exposure Limit:** We have a margin based Risk Management System. The Client's Credit /Debit balance in the ledger, the pledged securities held in Beneficiary Account, are considered for setting exposure limits. We may from time to time impose and vary limits on the orders that the client can place through our trading system(including exposure limits, turnover limits, limits as to the number of times of the value and / or kind of securities in respect of which orders can be placed etc.) The client is aware and agrees that the CSBL may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits(such as broker specific exposures etc.) and we may be unable to inform the client of such variation that the CSBL shall not be responsible for such inability to route any order through its trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the CSBL may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set it/ Exchange/SEBI and any other reasons which it may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone. In case of exposure taken on the basis of shares margin, the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

**Brokerage Rate:** Brokerage would be charged by CSBL at mutually agreed (between CSBL, its Sub-Broker / Authorized Person & client) rates within the permissible limits as prescribed by SEBI/Exchanges (presently stipulated as not to exceed 2.5% of the trade value- & which is inclusive of the sub broker's brokerage not to exceed 1.5% of the trade value).

**Penalty/Delayed payment Charges by either party:** The Client is aware and agree that pay-in of Securities or Funds are required to be made to CSBL on or before the regulated payin time on T+1 day. The client will be liable to pay late pay in/delayed payment charges for not making payment of their payin/margin obligation on time as per the exchange requirement at the rate of 2% per month. However, this shall not be construed to mean / or result in a permanent practice resulting in funding of the client by the broker in contravention of applicable laws. Further where the stock broker has to pay any fine or suffer penalty from any authority in connection with/as a consequence of/in relation to any of the orders/trades/deals/actions of the client, the same shall be borne by the client

**Sale of client Securities, Closing clients' Position due to non payment of Client dues:** The client is informed by CSBL that in case of any delay by client which being beyond permissible time limits as prescribed by SEBI's / Exchange's rules, regulations, byelaws, circulars / other applicable laws, in making the payment / clearing off obligations, dues, debit balances, margin, MTM debit balance etc., then client's open positions might be squared-off, credit balances of securities or securities lying with Broker might be sold off, credit balance of funds might be adjusted against client's obligation, debit balances or liabilities without any notice from CSBL and the client agrees to the same.

**Shortages in obligations arising out of internal netting of trades:** Clients are required to make Securities / Funds payin on or before regulated payin time on T+1 day. In case of default in security pay-in, by the client and the shortage is at member level i.e. internal shortage, then the benefit calculated is the lowest among the highest NSE/BSE rates for T & T+1 plus penalty (decided by the member from time to time) will be debited to the defaulting client and the same is passed on to the opposite party.

In case of the default of securities pay-in by the client, other than internal shortage, auction value of the respective exchange plus penalty, if any and other statutory charges shall be recovered from the defaulting client alongwith brokerage. In case of the shortage from exchange the exchange will conduct auction and transfer the shares on auction payout day and will be credited shares and / or funds to the respective clients on settlement by Exchange.

In the case of funds default by the client, the member shall be liquidating the stocks to recover the money. Any shortfall arising out of the liquidating securities by the members shall also be recovered from the defaulting client along with interest (decided by the member from time to time).

**Conditions for barring client from taking further position & closing of existing position :** The clients are obliged to monitor their positions regularly to ensure prompt pay-in to member. Failure/delay to meet margin obligations, pay-in obligations; failure/delay to clear outstanding debit balance by the client within the permissible time limit or beyond the time as CSBL has prescribed in its Risk Management Policy, frequent returning of cheques, cancellation of trades by the Exchange suo moto are among the few circumstances which may result in CSBL not permitting the client to take any fresh position/ closing the existing position or open position without any further notice. CSBL in our discretion may not reverse this, till such time that the client clear his/her/its' dues.

**TemporarySuspension / Account closure:** Either client or CSBL can initiate steps for temporary suspension and account closure of the client. The client can do so through prior written signed request made within a reasonable time to our Office at Kochi. Account closure requests would be entertained subject to the client clearing their entire dues/obligations. During the period the client account is suspended, the market transaction in the client account will be prohibited. However the client shares/ledger balance settlement can take place.

CSBL can initiate the temporary suspension of a client account due to its dormant/inactive status. Dormant / inactive accounts refers to those accounts with no transaction for two year from the last date of transaction. The period of two year will be counted from the last day of respective month in which the last transaction as aforesaid took place.

Failure/delay to meet margin obligations, pay-in obligations; failure/delay to clear outstanding debit balance by the client could also result in CSBL deciding to temporarily suspend the client account/close the same.

**Deregistration of the client:** Notwithstanding anything contrary stated in the agreement, CSBL shall be entitled to terminate the agreement with immediate effect in any of the the following circumstances:

- i. If the action of the client are prima facie illegal/improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- ii. If there is any commencement of a legal process against the client under any law in force;
- iii. On the death/lunacy or other disability of the Client;
- iv. If the client being a partnership firm, has any steps taken by the Client and/ or its partners for dissolution of the partnership;
- v. If the Client suffers any adverse material change in his/her /its financial position or defaults in any other agreement with the Stock Broker;



vi. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;vii. If the Client is in breach of any term, condition or covenant of this Agreement;

viii. If the Client has made any material misrepresentation of facts, including (without limitation) in relation to theSecurity;

ix. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the client;

x. If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;

xi. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;

xii. If any covenant or warranty of the Client is incorrect or untrue in any material respect;

## X 11

**Signature** : .....

**Client's Name** : .....

**Client Code:** : .....

**Date** : .....

TARIFF SHEET			
BROKERAGE STRUCTURE			
		PERCENTAGE	MINIMUM PAISE
Equity Segment (Subject to a ceiling of 2.5% of the turnover).	Same day square off		
	Delivery		
Futures Segment (Subject to a ceiling of 2.5% of the turnover)			
Options Segment (Subject to a ceiling of 2.5% of premium or Rs.100 per lot)		Rs._____ per lot	
Currency Derivatives - Futures Segment (Subject to a ceiling of 2.5% of the turnover)			
Currency Derivatives- Options Segment (Subject to a ceiling of 2.5% of premium or Rs.100 per lot)		Rs._____ per lot	
Mutual Fund			
Commodity Derivatives - Futures			
Commodity Derivatives - Option Segment			

Note : Applicable statutory charges are levied separately e.g. STT, SEBI Turnover Fees, Exchanges Transaction Charges, Stamp Duty, Service Tax, Education Cess, Swachh Bharat Cess (SBC) etc.

Name :

 **X 12**

Signature of the Client: \_\_\_\_\_

## **Most Important Terms and Conditions (MITC)**

**(For non-custodial settled trading accounts)**

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

 **X 13** Signature of the Client: .....

Client's Name : .....

Client Code.....Date.....Place.....

# CLIENT COMMODITY WISE CATEGORISATION (MANDATORY - ONLY FOR COMMODITY CLIENTS)

Cochin Stock Brokers Ltd.

MES Building Judges Avenue Kaloor Cochin 682017

I do hereby declare that my Commodity wise categorization as a participant is as follows:

Sr. No.	SYMBOL DESCRIPTION	*FARMER/ FPOS	*VALUE CHAIN PARTICIPANTS (VCPs)	*PROPRIETARY TRADES	*DOMESTIC FINANCIAL INSTITUTIONAL INVESTORS	*FOREIGN PARTICIPANTS	*OTHERS
1.	ALUMINIUM	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	BAJRA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	BARLEY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	CASTOR SEED	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	CHANA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	COFFEE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	COPPER	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	CORIANDER	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	COTTON	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.	COTTONSEED OIL CAKE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.	CRUDE PALMOIL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.	CRUDEOIL	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13.	GOLD	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14.	GROUNDNUT	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15.	GUARGUM	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16.	GUARSEED	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.	ISABGOL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18.	JEERA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19.	KAPAS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20.	LEAD	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
21.	MAIZE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22.	MCXICOMDEX	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23.	MENTHAOIL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24.	NATURALGAS	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25.	NCDEX-Indices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26.	NICKEL	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27.	PADDY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28.	RAPEMUSTARDSEEDS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
29.	RUBBER	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
30.	SESAMESEED	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
31.	SILVER	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
32.	SOYABEAN	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
33.	SOYOIL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
34.	STEEL	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
35.	TURMERIC	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
36.	ZINC	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

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

Signature

## **VOLUNTARY**

### **INVESTORS' RIGHTS AND OBLIGATIONS**

**1.1** You should familiarise yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the Cash Market / F&O market / Currency Derivatives / Commodity Derivatives market or the broking firm's insolvency or bankruptcy.

**1.1.1** Please ensure that you have a documentary proof of your having made deposit of such money or property with the member, stating towards which account such money or property deposited.

**1.1.2** Further, it may be noted that the extent to which you may recover such money or property may be governed by the Bye-laws and Regulations of NSE/BSE/MCX and the scheme of the Investors' Protection Fund in force from time to time.

**1.1.3** Any dispute with the member with respect to deposits, margin money, etc., and producing an appropriate proof thereof, shall be subject to arbitration as per the Rules, Byelaws/Regulations of NSE/BSE/MCX or its Clearing Corporation.

**1.2** Before you begin to trade, you should obtain a clear idea from your member of all brokerage, commissions, fees and other charges which will be levied on you for trading. These charges will affect your net cash inflow or outflow.

**1.3** You should exercise due diligence and comply with the following requirements of the NSE/BSE/MCX and/or SEBI:

**1.3.1** Please deal only with and through SEBI registered members of the Stock Exchange and are enabled to trade on the Exchange. All SEBI registered members are given a registration no., which may be verified from SEBI. The details of all members of NSE/BSE/MCX and whether they are enabled to trade may be verified from NSE/BSE website ([www.nseindia.com](http://www.nseindia.com)/[www.bseindia.com](http://www.bseindia.com), [mcxindia.com](http://mcxindia.com)).

**1.3.2** Demand any such information, details and documents from the member, for the purpose of verification, as you may find it necessary to satisfy yourself about his credentials.

**1.3.3** Furnish all such details in full as are required by the member as required in "Know Your Client" form, which may also include details of PAN or Passport or Driving License or Voters Id, or Ration Card, bank account and depository account, or any such details made mandatory by NSE/BSE/MCX/SEBI at any time, as is available with the investor.

**1.3.4** Execute all documents in the form prescribed by SEBI and/or the Relevant Authorities.

**1.3.5** Give any order for buy or sell of a security / derivatives contract in writing or in such form or manner, as may be mutually agreed. Giving instructions in writing ensures that you have proof of your intent, in case of disputes with the member.

**1.3.6** Ensure that a contract note is issued to you by the member which contains minute records of every transaction. Verify that the contract note contains details of order number, trade number, trade time, trade price, trade quantity, details of the currency derivatives contract, client code allotted to you and showing the brokerage separately. Contract notes are required to be given/ sent by the member to the investors latest on the next working day of the trade. Contract note can be issued by the member either in electronic form using digital signature as required, or in hard copy. In case you do not receive a contract note on the next working day or at a mutually agreed time, please get in touch with the Investors Grievance Cell of NSE/BSE/MCX, without delaying.

**1.3.7** Facility of Trade Verification is available on NSE/BSE/MCX website ([www.nseindia.com](http://www.nseindia.com)/ [www.bseindia.com](http://www.bseindia.com)), where details of trade as mentioned in the contract note may be verified from the trade date up to five trading

days. Where trade details on the website, do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of NSE/BSE/MCX.

**1.3.8** Ensure that payment of funds against settlement is given to the concerned member within one working day prior to the date of pay-in announced by NSE/BSE/MCX or its Clearing Corporation. Payments should be made only by account payee cheque in favour of the firm/company of the trading member and a receipt or acknowledgement towards what such payment is made be obtained from the member.

**1.3.9** In case pay-out of funds is not received on the next working day after date of pay-out announced by NSE/BSE/MCX or its Clearing Corporation, please follow-up with the concerned member for its receipt. In case pay-out is not received as above from the member within five working days, ensure that you lodge a complaint immediately with the Investors' Grievance Cell of NSE/BSE/MCX.

**1.3.10** Every member is required to send a complete 'Statement of Accounts', for both settlements and margins, to each of its constituents, at such periodicity as may be prescribed from time to time. You should report errors, if any, in the Statement immediately, but not later than 30 calendar days of receipt thereof, to the member. In case the error is not rectified or there is a dispute, ensure that you refer such matter to the Investors Grievance Cell of NSE/BSE/MCX without delaying.

**1.3.11** In case of a complaint against a member, you should address the complaint to the Office as may be specified by NSE/BSE/MCX from time to time.

**1.4** In case where a member surrenders his membership, NSE/BSE/MCX gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of NSE/BSE/MCX, ensure that you lodge a claim with NSE/BSE/MCX Clearing Corporation within the stipulated period and with the supporting documents.

**1.5** In case where a member is expelled from trading membership or declared a defaulter, NSE/BSE/MCX gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of NSE/BSE/MCX, ensure that you lodge a claim with NSE/BSE/MCX within the stipulated period and with the supporting documents.

**1.6** Claims against a defaulter/expelled member found to be valid as prescribed in the relevant Rules/Bye - laws and the scheme under the Investors' Protection Fund (IPF) may be payable as prescribed by SEBI.

#### **Notes:**

1. The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a trading member of NSE/BSE/MCX for the purpose of buying and / or selling of securities / F&O contracts / currency derivatives contracts through the mechanism provided by NSE/BSE/MCX.

2. The term 'member' shall mean and include a trading member or a broker or a stock broker, who has been admitted as such by NSE/BSE/MCX and who holds a registration certificate from SEBI.

3. The term 'contract' refers to a F&O / currency derivatives/ MCX derivatives contract and the term 'underlying' refers to the underlying index / stock / currency of such contract.

## **X 14**

**Signature of the Client :** .....



## VOLUNTARY


### RUNNING ACCOUNT AUTHORISATION

Date:.....

Cochin Stock Brokers Ltd. (CSBL)

Regd. Office: MES Dr. P.K Abdul Gafoor Memorial Cultural Complex,  
65/608,4th Floor, Judges Avenue, Kaloor, Kochi -682017.

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

1. I/We request you to maintain running balance in my/our account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
2. I/We request you to retain securities with you for my/our margin/pay-in/other-future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation, unless I/we instruct you to transfer the same to my/our account.
3. I/We request you to settle my/our account for funds and securities on a  
Monthly ☐ **OR** Quarterly basis. (Tick any one)  **X 15 Clients signature**.....  
or such other higher period as allowed by SEBI/Stock Exchange time to time, as specified by me/us in your Back office System, except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/ funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
5. I/We agree not to claim any interest from you on such securities/ funds so retained by you.
6. I/We confirm you that I/we will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
7. I/We confirm you that I/we can revoke the above mentioned authority at any time by giving a notice in writing to you.
8. Periodic settlement of running account may not be necessary for margin trading facility or funds received towards collaterals/ margin in form of Bank Guarantee, Fixed Deposit etc.



9. On my/our request/demand, you shall transfer the funds/securities within 1 working day if lying with you.
10. No inter-client adjustments shall be made for the purpose of settlement of my/our running account.

 **X 16**

Client Name: ..... Signature .....

Client Code : ..... PAN No. ....

Witness (1) Name: ..... Signature: .....

Address : .....

(2) Name: .....Signature: .....

Address : .....

## **VOLUNTARY\***

### **CONSENT(S) FOR SMOOTH OPERATIONAL CONVENIENCE-CASH/F&O/CURRENCY SEGMENT**

**\*This document is purely voluntary and all/any part thereof can be deleted before signing. Your consent can also be revoked at any time after execution by sending your written request to do so.**

**I/We do hereby give my/ our consents as follows:**

1. I/we may not be insisted upon, to place, modify or cancel my/our orders, in writing to your Sub-Broker / Authorized Person / you , instead, my/our oral instructions on these may be accepted.
2. I/We hereby authorise you to keep all the securities which we give you in margin including the payout of Securities received by us for meeting margin/other obligation on our behalf in stock exchanges in whatever manner which may include pledging of shares or for giving the same as margin to the Stock Exchanges.
3. I/We request you to retain credit balance in any of my /our account and to issue the idle funds towards our margin/ future obligations at any or both the Exchanges / MCX unless I/we instruct you otherwise. I/We also authorize you to debit the necessary demat charged from time to time, for keeping the shares in your client demat beneficial account on my/our behalf. I/We also authorise you to debit the financial charges 2%p.m for the debit balances if any, in my/ our account and not settled as per the exchange requirements.
4. Trading of all Exchanges is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, Combination of technologies and computer systems to place and route orders. I/We understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/ network, which may be beyond your control and may result in delay in processing or not processing buy or sell Orders either in part or in full. I/we agree that I/We shall not hold you liable or responsible for any such problems/fault.
5. I/We, am/are agreeable for inter – settlement transfer of securities, that is for settling pay out of securities of one settlement with the payin of subsequent settlement in the same exchange or another exchange when possible.
6. I/We have a Trading as well as depository relationship with CSBL. Please debit the charges relevant with Depository services from my/our trading account as and when the charges accrue. I/we agree to maintain the adequate balance in my trading account/ pay adequate advance fee for the said reasons.
7. I/We agree that all fines/penalties /charges etc levied upon you by the Exchanges/SEBI for my/our transactions / deeds/ actions/mistakes are recoverable by you from my/our accounts.
8. I/We agree to furnish periodic updation of financial information to you. Documentary evidence of the same will also be furnished to you if you require/ Since we are your non individual clients we shall also submit our audited accounts/ shareholding pattern, updated list of directors/ Partners etc also every year.
9. I/We are aware & agree that you can charge us for any additional services provided by you as per my/ our oral/ written request.

10. Consent to receive Contract Notes, Daily Margin Report, Quarterly Statement of Accounts of Funds & Securities, ASFS Statement, STT Report, Email Alerts and other documents through e-mail:
- (i) I/We request you to send me/us above said documents through e-mail to the e-mail id given to you by me and the same shall be binding upon me/us.
  - (ii) I/we will check the relevant emails regularly as may be sent by you into my/our e-mail id.
11. These consents, instructions and confirmations shall also apply to all other past, present and future transactions with you.
12. I/we have noted your designated e-mail id for investor complaints/grievances.

**All/any of the aforesaid consents shall be in-force until I/We revoke the same in writing giving you 15 days time.**

I/we understand that the aforesaid consents are purely voluntary and have been given to you for smoother operations of my/our client account with you as our broker and then only I/we have put our signature only after proper understanding.

 **X 17**

**Signature** : .....

**Client's Name** : .....

**Client Code:** : .....

**Date** : .....

## VOLUNTARY

### CONSENT FOR SECURITIES AS COLLATERAL

1. During the course of my/our trading through CSBL on NSE/BSE/MCX, securities shall be provided by me/us and be accepted on your terms as collateral for maintenance of margins/ providing trading limits on any of the Exchange segments. I/We am/are aware that only Approved Securities are acceptable as collateral.
2. That such securities transferred by me/us to CSBL shall be from BO accounts held in my/our name /Joint name.
3. That I/we hereby authorize you to utilize any such securities retained in my/our account with you in any segment towards collateral.
4. That these securities shall be valued at current market prices and credit (referred to my/our Collateral amount) shall be assigned only after applying the due haircut percentages which shall vary from security to security.
5. That I/we undertake to replenish any short fall in the value of securities in the form of additional securities and / or cash, as is acceptable to CSBL by the start of the next trading session from the time of CSBL intimating me/us on such short fall either orally or in writing.
6. That I/we hereby authorize CSBL to dispose/liquidate my/our securities to meet any shortfall in Margins and / or adjust any outstanding dues in my/our account with CSBL.
7. That I/we have given the above authority CSBL with my/our free consent.
8. That in future I/we shall not make any claim upon CSBL, in any manner whatsoever for any losses and costs arising out of shortage in securities payin as mentioned in any of the points above and the delay in releasing my/our securities back, due to reasons associated with the Depository Participant/ Clearing House/ Custodian/ Clearing Member or any such entity.
9. That this is my/our true irrevocable statement and shall continue to apply until my/our trading rights with CSBL are terminated and / or until all my/our obligations and dues are completely fulfilled and settled to the satisfaction of CSBL.

 **X 18**

**Signature** : .....

**Client's Name** : .....

**Client Code:** : .....

**Date** : .....

# VOLUNTARY DOCUMENT

## Demat Debit and Pledge Instruction (DDPI)

*Special  
Adhesive  
Stamp  
Rs. 100 /-*

**Date:**

To,

Cochin Stock Brokers Limited

Dear Sir/Madam,













I/We,.....

1..... (Name).....  
.....( Address).

2..... (Name).....  
.....( Address).

3..... (Name).....  
.....( Address).

hereby explicitly agree and give consent to authorize Cochin Stock Brokers Limited (CSBL), to access my/our below mentioned Demat/Beneficial Owner (BO) Account for the limited purposes as listed below. Accordingly, I/We hereby, authorize CSBL to do the following:-

Sr. No.	Purpose	Signature of the client with Seal
1	Transfer of securities held in my/our above beneficial owner account towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me/us on the Stock Exchanges through Cochin Stock Brokers Limited	1st Holder (X 19) 
		2nd Holder (X 20) 
		3rd Holder (X 21) 
2	Pledging / re-pledging of securities in favour of Cochin Stock Brokers Limited, the trading member (TM) / clearing member (CM) / clearing corporation (CC) for the purpose of meeting my/our margin requirements in connection with the trades executed by me or us on the Stock Exchanges.	1st Holder (X 22) 
		2nd Holder (X 23) 
		3rd Holder (X 24) 
3	Mutual Fund transactions being executed by me/us on stock exchange order entry platforms	1st Holder (X 25) 
		2nd Holder (X 26) 
		3rd Holder (X 27) 
4	Tendering shares in open offers by me/us through Stock Exchange platforms	1st Holder (X 28) 
		2nd Holder (X 29) 
		3rd Holder (X 30) 

I / We hereby authorize M/s Cochin Stock Brokers Limited to transfer the securities from my /our beneficiary account to the given demat accounts as mentioned herein below towards delivery settlement arising out of trades executed on the Stock Exchanges and Pledging / Re-pledging of securities in favour of trading member (TM) / clearing member (CM) / clearing corporation (CC) towards meeting margin requirements

<b>Depository Beneficial ID</b>	<b>Demat A/c Purpose</b>
1100001100014631	NSE Early Payin A/c
1100001000013821	BSE Early Payin A/c
1202390000000685	NSE CDSL Pool A/c
1202390000000419	BSE Principal A/c
1202390000410885	TM/CM - Client's Securities Margin Pledge A/c.
1202390000412688	NSE Securities Lending & Borrowing Scheme (SLBS)

I / We hereby agree that all such acts done on my behalf by Cochin Stock Brokers Limited shall be deemed to be acts done by me / us .

This is a Revocable Demat Debit and Pledge Instruction (DDPI) Kindly further note that I/We, am/are entitled to cancel/ revoke this authorisation at any time, after sending the revocation letter at the registered office address of Cochin Stock Brokers Limited . Such cancellation / revocation shall not be applicable to those obligations arising out of the trades carried out by me/us prior to such cancellation / revocation.

<b>ACCOUNT TYPE</b>	<b>Client CODE</b>	<b>BROKER / DP</b>
Trading account	Name ..... Client Code .....	Cochin Stock Brokers Ltd.
Demat Account	DP Client ID ..... DP Name .....	DP ID .....

(X31)  (Full signature required)  
(Sole/First Holder Signature)

(X32)  (Full signature required)  
(Second Holder Signature)

(X33)  (Full signature required)  
(Third Holder Signature)

## VOLUNTARY

From,  
(Client Name & Address)

Date:.....

Place:.....

To

**Cochin Stock Brokers Ltd. (CSBL)**

Regd. Office: MES Dr. P.K Abdul Gafoor Memorial Cultural Complex,  
65/608, 4th Floor, Judges Avenue, Kaloor, Kochi -682017

Dear Sir,

**Sub:- Sending of Statement of Accounts through E-mode**

**Ref:- Beneficial Owner (BO) Account No.: 1202390000.....**

I/We 1.....

2.....

3.....

[ Name (s) of the BO(s)] had entered into agreement dated ..... with you at the time of opening of the aforesaid BO account.

Pursuant to the amendment in Clause 3 of the Agreement (Annexure C to the Bye Laws of CDSL), I/We confirm having opted to receive the statement of accounts pertaining to the abovementioned BO account in electronic mode in lieu of physical copy of the statement of account.

I/We confirm that the despatch of statement of account to me/us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me/us with statement of my/our BO account. But, I/We reserve my/our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode, if such a demand is made in writing on you.

E mail address:.....

Tele. No.: .....Mobile No.: .....

(I/We would like to register for CDSL's SMART facility. Terms and conditions are acceptable to me/us available on CDSL's website)

I/We confirm that any change in the aforesaid email address or any other instructions with regard to despatch/service of my/our statement of account on me/us shall not be binding upon you unless you are intimated in writing by me/us by acknowledged delivery.

Yours faithfully,  
Name(s) of the BO(s)

Signature/s:  **X 34**

\_\_\_\_\_  
First Holder

 **X 35**

\_\_\_\_\_  
Second Holder

 **X 36**

\_\_\_\_\_  
Third Holder

Blank Page

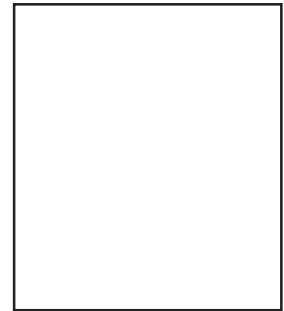


Non mandatory

Format of letter to be obtained from a Bank to establish operation of Bank Account,  
Personal Identity and Signature

To

**Cochin Stock Brokers Ltd. (CSBL)**  
Regd. Office: MES Dr. P.K Abdul Gafoor  
Memorial Cultural Complex,  
65/608, 4th Floor, Judges Avenue  
Kaloor, Kochi -682017



(bank stamp across photograph)

Dear Sir,

This is to certify the Savings / Current Account No.....  
of Mr./Ms./ M/s.....whose PAN is.....  
held jointly with our branch, has been active since.....years / months and the operation of the account  
has been satisfactory

We further confirm that Mr./Ms/ M/s..... having  
Address .....having  
as appearing in our records and Name.....as in .....and  
Name..... as in .....are one and the same person.


 **X 37**

.....swear or affirm that the information provided in this form is  
true and correct. I understand that making a false statement in this form may constitute the case of perjury.

**Signature of the Client** .....

Signed in my presence and attested : .....

Name & Signature of Branch Manager (with Stamp)

Blank Page

# FATCA/CRS Declaration For Individuals

Date :.....

Client Id

[illegible]

Sr. No.	Details		1st Holder	2nd Holder	3rd Holder
1	Are You US Person	Yes / No			
2	Country of Birth	India			
		US			
		Other			
3	Place of birth	City /Town (If Other than India)			
4	Source Of Wealth	Salary			
		Business			
		Gift			
		Ancestral Property			
		Rental Income			
		Prize Money			
		Royalty			
		Others			
5	If your country of Tax Residency Other than India	Yes / No			

If 'Yes' please specify the details of all countries where you hold tax residency and its Tax identification Number & Type.

Sr. No.	Details	1st Holder	2nd Holder	3rd Holder
1	Country of Residence For Tax Purpose (Other than India)#			
2	Tax Identification No.(US TIN) or Equivalent(Other)			
3	Identification Type			

*#To include all countries other than India, where investor is Citizen/Resident/Green Card Holder/ Tax Resident in those respective countries especially of USA.*

**Declaration:**

1. I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief correct and complete. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. In case of any change in the above given status on a future date, I undertake to inform CSBL the same within 30 Days.
2. I agree that if I/am a U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.) requiring reporting under FATCA/CRS or any other Law, my account details, as required under inter governmental agreement (IGA)/Multilateral competent authority agreement (MCAA) Signed by Indian government, would be reported by CSBL to the relevant Tax Authority.
3. If My Country of Birth is US, I/am providing a certificate of relinquishment of Citizenship (loss of Nationality) or a self certification for stating reason for not having such a certificate despite relinquishing US citizenship OR not obtaining US citizenship at birth.

I hereby authorize you to disclose, share, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries to facilitate single submission / updation & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end.

	1st Holder	2nd Holder	3rd Holder
SIGNATURE			

**Notes:**

1. Who is US person?

in case of individuals, U.S. person means a citizen or Resident of the United States. Persons who would qualify as US person could be born in the United States, Born outside the United States of a US parents, Naturalized Citizens, Green Card Holders, Tax residents.

2. Who is a reportable person (non US) under common reporting standards (CRS)? Under common reporting standards (CRS), Reportable person means tax resident of a reportable foreign jurisdiction other than US
3. Document to be collected if Customer's Country of birth is US but declares that he/she is not a US person
  - Certificate of relinquishment of citizenship (loss of nationality certificate); or
  - Self certification for stating reason for not having such a certificate despite relinquishing US citizenship; Or
  - Self certification for stating reasons for not obtaining US citizenship at birth.
4. MF transactions will be permitted to clients/ joint holders in new folios after reviewing this declaration and existing KYC data and only if permitted by AMCs.
5. Towards compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

If any controlling person of the entity is a citizen or resident or green card holder of outside India, please include all such foreign country information field along with the relevant Tax Identification Number. Also note that you may receive more than one request to provide this information, if you have multiple relationships with us or our group entities. Therefore it is important that you respond to our request, even if you believe that you have already provided this information earlier. Please note that above information is provided only for quick reference to customers. You are requested to refer Rule 114F, 114G and 114H of Income-tax Rules, 1962 consult a legal/tax advisor for any clarification.