

Interactive Brokers (India) Private Limited

502/A, Times Square

Andheri Kurla Road, Andheri (East) Mumbai 400059.

Tel: +91-22-61289888 Fax: +91-22-61289898

Website: www.interactivebrokers.co.in

SEBI Registration No: NSE: INB/F/E 231288037 (CM/F&O/CD)

BSE: INB/F 011288033 (CM/F&O); MCX-SX: INE 2611288034 (CD)

NSDL: IN-DP-NSDL-301-2008 DP ID – IN 303567

NDML Registration No:

Client ID:

KNOW YOUR CLIENT (KYC) APPLICATION FORM

A. IDENTITY DETAILS (As proof of ID please enclose a duly attested copy of the PAN Card)

1. Name of Applicant (As shown on the PAN card)

2. Date of Incorporation

3. Date of commencement of business

4. Place of incorporation

5. PAN (PAN card mandatory)

6. Registration number (eg. CIN)

7. Status (please ✓ any one or give brief details)

Private Limited Co.

Bank

FI

FII

Public Limited Co.

Government Body

HUF

LLP

Body Corporate

Defense Establishment

AOP

Charities

Trust

Society

BOI

NGO's

Partnership

Others _____

B. ADDRESS DETAILS (please provide proof of address document for this)

1. Correspondence Address

City/Town/Village

Pin Code

State

Country

2. Specify proof of address submitted

3. Registered Address (if different from above)

City/Town/Village

Pin Code

State

Country

4. Specify proof of address submitted

5. Contact Details Tel (Home)

Tel (Mobile)

Tel (Business)

Tel (FAX optional)

Email address:

C. OTHER DETAILS

1. Details of Promoters/Directors/Karta/Trustees/Partners and whole time directors

Name	<input type="text"/>	PHOTOGRAPH Please affix a recent passport size photograph and sign across it <i>Sign across</i>
	<input type="text"/>	
Designation	<input type="text"/>	
Address	<input type="text"/>	
	<input type="text"/>	
	<input type="text"/>	
PAN	<input type="text"/>	DIN/UID <input type="text"/>
		AADHAAR <input type="text"/>

Name	<input type="text"/>	PHOTOGRAPH Please affix a recent passport size photograph and sign across it <i>Sign across</i>
	<input type="text"/>	
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Address	<input type="text"/>	
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Name	<input type="text"/>	PHOTOGRAPH Please affix a recent passport size photograph and sign across it <i>Sign across</i>
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Designation	<input type="text"/>	
Address	<input type="text"/>	
	<input type="text"/>	
	<input type="text"/>	
PAN	<input type="text"/>	DIN/UID <input type="text"/>
		AADHAAR <input type="text"/>

AADHAAR

Details of Promoters/Directors/Karta/Trustees/Partners and whole time directors

Name

 Designation
 Address

PHOTOGRAPH

Please affix a recent passport size photograph and sign across it

Sign across

PAN DIN/UID
 AADHAAR

Name

 Designation
 Address

PHOTOGRAPH

Please affix a recent passport size photograph and sign across it

Sign across

PAN DIN/UID
 AADHAAR

Name

 Designation
 Address

PHOTOGRAPH

Please affix a recent passport size photograph and sign across it

Sign across

PAN DIN/UID
 AADHAAR

Name

 Designation
 Address


PHOTOGRAPH


Please affix a recent passport size photograph and sign across it


Sign across


PAN DIN/UID
 AADHAAR

Details of Promoters/Directors/Karta/Trustees/Partners and whole time directors

Name	<input type="text"/>		PHOTOGRAPH Please affix a recent passport size photograph and sign across it 
	<input type="text"/>		
Designation	<input type="text"/>		
Address	<input type="text"/>		
	<input type="text"/>		
PAN	<input type="text"/>	DIN/UID	<input type="text"/>
		AADHAAR	<input type="text"/>

Name	<input type="text"/>		PHOTOGRAPH Please affix a recent passport size photograph and sign across it 
	<input type="text"/>		
Designation	<input type="text"/>		
Address	<input type="text"/>		
	<input type="text"/>		
PAN	<input type="text"/>	DIN/UID	<input type="text"/>
		AADHAAR	<input type="text"/>

Name	<input type="text"/>		PHOTOGRAPH Please affix a recent passport size photograph and sign across it 
	<input type="text"/>		
Designation	<input type="text"/>		
Address	<input type="text"/>		
	<input type="text"/>		
PAN	<input type="text"/>	DIN/UID	<input type="text"/>
		AADHAAR	<input type="text"/>

Name	<input type="text"/>		PHOTOGRAPH Please affix a recent passport size photograph and sign across it 
	<input type="text"/>		
Designation	<input type="text"/>		
Address	<input type="text"/>		
	<input type="text"/>		
PAN	<input type="text"/>	DIN/UID	<input type="text"/>
		AADHAAR	<input type="text"/>

D. DECLARATION

I/We 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 later found to be false or untrue or misleading or misrepresenting, I am/we aware that I may be held liable.

Name

Date

_____ (Sign)

Signature of Authorised Signatory

FOR OFFICE USE ONLY

1 Originals verified and Self-Attested Document copies received

Name & Signature of
the Authorized Signatory

Date

Seal/Stamp of the intermediary

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A. BANK ACCOUNT(S) DETAILS

1. Bank Name
 Branch Address

 Bank A/C No.
 A/C Type (please ✓) Savings Current Other
 IFSC Number MICR Number

2. Bank Name
 Branch Address

 Bank A/C No.
 A/C Type (please ✓) Savings Current Other
 IFSC Number MICR Number

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name Depository Name
 Beneficiary name
 DP ID NO. BENEFICIARY ID

C. INVESTMENT/TRADING EXPERIENCE & PREFERENCES

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

#If, in the 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

Exchange	Segment	Years of Experience	Signature
NSE	CASH		_____ (Sign)
	F&O		_____ (Sign)
	CD		_____ (Sign)

Whether you wish to receive a Physical Contract Note Electronic Contract Note (ECN)

Do you wish to use our internet trading platform/wireless technology ? Yes No

Do you wish to engage in Margin trading? Yes No

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:

D. TRADING ACCOUNTS WITH OTHER STOCKBROKERS

1. If dealing with other Stock Brokers, please provide details

Name of stock broker

Client Code

Details of disputes/dues pending from/to such stock brokers _____

2. If dealing with other Stock Brokers, please provide details

Name of stock broker

Client Code

Details of disputes/dues pending from/to such stock brokers _____

E. OTHER DETAILS

1. Please if applicable to any of your Authorised Signatories/Promoters/Partners/Karta/Trustees/whole time directors

Politically Exposed Person (PEP) Related to a PEP

2. Any other information _____

3. Annual Income Details: Income Range per annum (please)

` 5- 10 lac ` 10-25 lac ` 25 lac - 1 crore > ` 1 crore

4. Liquid Networth as of

Amount (please)

` 5- 10 lac ` 10-25 lac ` 25 lac - 1 crore > ` 1 crore

(Networth should not be older than 1 year)

F. INTRODUCER DETAILS

Internet based client Walk in client

Employee of the company or an existing client

Name of the Introducer

Status of the Introducer

Address

G. 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 and understood the contents of the document on policies and procedures of the stockbroker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document', 'Guidance note', 'Policies and Procedures' & 'Tariff sheet' 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 been displayed for Information on stockbroker's designated website.
4. I/We have fully understood the distinction and detail regarding the Non-Mandatory/Voluntary documents and enter and sign the same and agree not to call into question the validity, enforceability and applicability of any voluntary/option agreement(s) documents(s) or clauses within any voluntary/optional agreement(s)/document(s) under any circumstances what so ever.

_____ (Sign)

Signature of Client/(all) Authorized Signatory(ies)

Name of Client _____

Place _____

Date

FOR OFFICE USE ONLY

Trading Code allotted to the Client: U _____ Client ID: _____

In-Person-Verification (IPV) details	
In-Person verification by	
Originals verified by& client interviewed by	

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

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DEMAT ACCOUNT DETAILS

Interactive Brokers (India) Private Limited (DP ID 303567)
 502/A, Times Square
 Andheri Kurla Road, Andheri (East) Mumbai 400059.

Client-ID (To be filled by Participant)

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

Date

A. DETAILS OF ACCOUNT HOLDER(S)

Sole/First Holder Name

PAN

Second Holder Name

PAN

Third Holder Name

PAN

B. TYPE OF ACCOUNT

Body Corporate

FI

FII

Qualified Foreign Investor

Mutual Fund

Trust

Bank

CM

Others

C. HUF/ASSOCIATION OF PERSONS/PARTNERSHIP FIRM/UNREGISTERED TRUST

For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:

Name

PAN

D. IN CASE OF FII's/OTHERS

RBI Approval date

RBI Approval Reference Number

SEBI Registration Number (For FII's)

E. BANK DETAILS

Bank Name

Branch Address

Bank A/C No.

A/C Type (please ✓)

Savings

Current

Others (please specify)

IFSC Number

MICR Number

F. CLEARING MEMBER DETAILS (TO BE FILLED BY CLEARING MEMBERS ONLY)

Name of Stock Exchange

Name of Clearing Corporation/Clearing house

Clearing member ID

SEBI Regn Number

Trade name

CM-BP-ID (to be filled up by Participant)

G. STANDING INSTRUCTIONS

1. I/We authorise you to receive credits automatically into my/our account (please ✓) Yes No
2. Account to be operated through Power of Attorney (PoA) (please ✓) Yes No
3. Mode of receiving statement of account: Physical Form Electronic Form*
(Read note 4 and ensure that email ID is provided in KYC application form)

4. SMS Alert facility: [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]

Holder	Yes	No	Mobile Number
Sole/First Holder	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Second Holder	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>
Third Holder	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>

Declaration

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

Enclose a Board Resolution for Authorized Signatories

Sole/First Signatory (Mr./Ms.)

Date

(Sign)

Second Signatory (Mr./Ms.)

Date

(Sign)

Third Signatory (Mr./Ms.)

Date

(Sign)

Mode of Operation for Sole/First Holder (In case of joint Holdings,all the holders must sign)		
Any One Singly	<input type="checkbox"/>	
Jointly by	<input type="checkbox"/>	
As per Resolution	<input type="checkbox"/>	
Other (Please specify)	<input type="checkbox"/>	

Notes :

1. All communication shall be sent to the address of the Sole/First holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the other languages not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. In case of additional signatures, separate annexures should be attached to the application form.
4. For receiving Statement of Account in electronic form:
 - I. Client must ensure the confidentiality of the password of the email account.
 - II. Client must promptly inform the Participant if the email address has changed.
 - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
5. Strike off whichever is not applicable.

-----X-----

Declaration for receipt of Account Opening Kit

With reference to my / our application for opening a depository account, I/we acknowledge the receipt of copy of the following documents in the below described forms.

Name of the Document/Disclosure	Document form (Electronic/Physical)
Rights & Obligations of stock broker, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading)	Electronic Form – made available in the Online application
Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and depositories	Electronic Form – made available on email, along with account opening form
Uniform Risk Disclosure Documents (for all segments/ exchanges)	Electronic Form – made available in the Online application
Guidance Note detailing Do's and Don'ts for trading on stock exchanges	Electronic Form – made available in the Online application
Name	Signature(s) of Account Holder(s)
Sole/First Signatory (Mr./Ms.)	X
Second Signatory (Mr./Ms.)	
Third Signatory (Mr./Ms.)	
Date :	

Acknowledgement

Interactive Brokers (India) Private Limited (DP ID 303567) 502/A, Times Square, Andheri Kurla Road, Andheri (East) Mumbai 400059.

Received the application from Mr/Ms _____
as the sole/first holder along with _____ and _____ as the second and third
holder respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you in all your
future correspondence.

Date

	_____ (Sign)
--	-----------------

Participant Stamp

Participant Signature

X