

APPLICATION	
F.No.	Sl.No.



# TRADEWELL SECURITIES LIMITED

## CLIENT REGISTRATION FORM

Client Name

:

Client Code

:

Office Code

:

B.O. ID

:

PAN

:

Branch

:

### TRADEWELL SECURITIES LIMITED

CIN : U67120TG2007PLC158339  
SEBI Registration Number : INZ000171936  
Corporate Member : NSE : 12835 | BSE : 3187 | MCX : 56265  
SEBI Registration. IN-DP-CDSL-518-2020 | DP ID : 12052700

**Registered Office :**  
Flat No. 204, Anushka Trendz, BN Reddy Colony, Road No. 14,  
Banjara Hills, Hyderabad - 500 034, Telangana,  
Ph.: +91-40-23541258, Fax : +91-40-23541256  
E-mail : [info@tradewellmail.com](mailto:info@tradewellmail.com)  
URL : [www.tradewell.in](http://www.tradewell.in)

# ACCOUNT OPENING KIT INDEX

## MANDATORY DOCUMENTS

Annexure - 1

S. No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Account Opening Form	KYC form - Document captures the basic information about the constituent and an instruction/check list.	1-9
2.	SMS Registration	Nomination Form	10-13
3.	Option form Issue of DIS Booklet		14
4.	Terms and Conditions for availing Transaction using Secured Texting (TRUST) Service offered by CDSL		15-16
5	Policies and Procedures	Document detailing significant policies and procedures of the stock broker. The clients may any time request for the updated copies of this document or refer to it at website.	17-18
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange (s) / CDSL	19
7.	CERSAI Form		Attachment Given separately
8.	RDD & ROB, Do'd & Don'ts	Risk Disclosure Document Rights and Obligation Guidance Note - Do's & Don'ts PMLA Information	Attachment Given separately

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Name of stock broker/depository participant/clearing member : **TRADEWELL SECURITIES LIMITED**

SEBI Registration No. and date : NSE, BSE & MCX : INZ000171936  
CDSL : IN-DP-CDSL-518-2020

Registered Office : Flat No. 204, Anushka Trendz, BN Reddy Colony, Road No. 14,  
Banjara Hills, Hyderabad - 500 034, Telangana,  
Ph.: +91-40-23541258, Fax : +91-40-23541256

**Compliance officer**  
Name: K. Srinivasa Rao  
Phone : +91 92463 99444  
Email : srinivas@tradewellmail.com

### NSE CD MCX CM SHCIL

Cleaning Member  
for Derivatives Segment : SHCIL 301 Centre Point Dr. Babasaheb Ambedkar Road, Parel Mumbai Maharashtra - 400012.

For any grievance/dispute please contact stock broker TRADEWELL SECURITIES LIMITED at the above address or email id : [investorgrievance:igtsl@tradewellmail.com](mailto:investorgrievance:igtsl@tradewellmail.com) and Phone No. : 040-2354 1258  
In case not satisfied with the response, Please contact the concerned exchange(s)

Exchange	E mail ID	Telephone No.
NSE	<a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>	1800220058
BSE	<a href="mailto:is@bseindia.com">is@bseindia.com</a>	(022) 22728097
MCX	<a href="mailto:grievance@mcxindia.com">grievance@mcxindia.com</a>	(022) 67318888
CDSL	<a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a>	(022) 22723333

KNOW YOUR CLIENT (KYC) APPLICATION FORM

For Individuals

PHOTOGRAPH  
Please affix your  
recent passport  
size photograph  
and sign across it

1

Please fill this form in ENGLISH and in BLOCK LETTERS.

\* I/We request you to open in a demat & trading account in my / our name as per following details

A. IDENTITY DETAILS

1. Name of the Applicant : \_\_\_\_\_
2. a) Father's / Spouse Name : \_\_\_\_\_ b) Mother Name \_\_\_\_\_
3. a) Gender : Male/Female    b) Marital Status : Single / Married    c) Date of Birth : \_\_\_\_\_ (dd/mm/yyyy)
4. a) Nationality : \_\_\_\_\_    b) Status : Resident Individual / Non Resident / Foreign National
5. a) PAN : \_\_\_\_\_    b) UID \_\_\_\_\_
6. Specify the proof of Identity submitted : \_\_\_\_\_

B. ADDRESS DETAILS

1. Residence Address : \_\_\_\_\_  
\_\_\_\_\_  
  
City / Town / Village : \_\_\_\_\_ Pin Code : \_\_\_\_\_ State : \_\_\_\_\_ Country : \_\_\_\_\_
2. Contact Details : Tel. (Off.) \_\_\_\_\_ Tel. (Res.) \_\_\_\_\_ Mobile No. \_\_\_\_\_  
  
Fax : \_\_\_\_\_ Email-Id : \_\_\_\_\_
3. Specify the proof of address submitted for residence address : \_\_\_\_\_
4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant) : \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
  
City / Town / Village : \_\_\_\_\_ Pin Code : \_\_\_\_\_ State : \_\_\_\_\_ Country : \_\_\_\_\_

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 charges 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.

2

Signature of the Applicant

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

\_\_\_\_\_

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Name

Signature of the Authorised Signatory

Date .....

Seal/Stamp of the intermediary

Type of Account (Please tick whichever is applicable)

CDSL

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"/> Others (Specify) <input type="checkbox"/> Individual Margin Trading A/C (Mantra)
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI - Depository Receipts <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI Non-Repatriable Promoter <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)

DP Internal Reference No.		Date															
DP ID No.	1	2	0	5	2	7	0	0	Client ID								

(The Personal Information required to register for DP has already been provided in the application. The additional information required is as under) :

Second Applicant Details :

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

Father / Husband Name : \_\_\_\_\_ Date of Birth : \_\_\_\_\_

Permanent Address : \_\_\_\_\_

\_\_\_\_\_ Pin Code : \_\_\_\_\_

Telephone : \_\_\_\_\_ Fax : \_\_\_\_\_ Mobile : \_\_\_\_\_ SMS Facility : ☐Yes ☐No

Occupation : \_\_\_\_\_ Gender : ☐Male ☐Female

PAN No. : \_\_\_\_\_ UID : \_\_\_\_\_ E-mail ID : \_\_\_\_\_

Gross Annual Income Details (please specify): Income Range per annum: Below ☐1 Lac    ☐1-5 Lac    ☐5-10 Lac  
☐10-25 Lac    ☐ >25 Lacs

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

Third Applicant Details :

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

Father / Husband Name : \_\_\_\_\_ Date of Birth : \_\_\_\_\_

Permanent Address : \_\_\_\_\_

\_\_\_\_\_ Pin Code : \_\_\_\_\_

Telephone : \_\_\_\_\_ Fax : \_\_\_\_\_ Mobile : \_\_\_\_\_ SMS Facility : ☐Yes ☐No

Occupation : \_\_\_\_\_ Gender : ☐Male ☐Female

PAN No. : \_\_\_\_\_ UID : \_\_\_\_\_ E-mail ID : \_\_\_\_\_

Gross Annual Income Details (please specify): Income Range per annum: Below ☐1 Lac    ☐1-5 Lac    ☐5-10 Lac  
☐10-25 Lac    ☐ >25 Lacs

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

Details of Guardian :

Name : \_\_\_\_\_ Relationship with Applicant \_\_\_\_\_

Father / Husband Name : \_\_\_\_\_ Date of Birth : \_\_\_\_\_

Permanent Address : \_\_\_\_\_

\_\_\_\_\_ Pin Code : \_\_\_\_\_

Telephone : \_\_\_\_\_ Fax : \_\_\_\_\_ Mobile : \_\_\_\_\_ SMS Facility : ☐Yes ☐No

Occupation : \_\_\_\_\_ Gender : ☐Male ☐Female

PAN : \_\_\_\_\_ E-mail : \_\_\_\_\_

Gross Annual Income Details (please specify): Income Range per annum: Below ☐1 Lac    ☐1-5 Lac    ☐5-10 Lac  
☐10-25 Lac    ☐ >25 Lacs

Guardian Signature \_\_\_\_\_

For NRIs :

Foreign Address : \_\_\_\_\_

\_\_\_\_\_ Pin Code : \_\_\_\_\_

I / We have received and read the Rights & 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 application.I/We agree and undertake to intimate the DP any changes(s) in the details / particulars mentioned by me / us in this form. I/We further agree that false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

Please affix your recent passport size photograph and sign across

Second Holder sign across it

Please affix your recent passport size photograph and sign across

Third Holder sign across it

(Signature Card)

DP ID No.	1	2	0	5	2	7	0	0	Client ID								
-----------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	<div><div>3</div><div>1<sup>st</sup></div></div>	<div>2<sup>nd</sup></div>	<div>3<sup>rd</sup></div>

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 instruction 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"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
I / We request you to send Electronic Transaction-cum Holding Statement at the email ID		<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with 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 as given below through ECS (If not marked, the default option would be 'Yes') (ECS is mandatory for locations notified by SEBI from time to time)		<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We wish to avail the following facility Basic Service Demat Account Facility (BSDA)		<input type="checkbox"/> Yes <input type="checkbox"/> No

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☐ (Originals Verified) True Copies of Documents receive    ☐ (Self-Attested) Self Certified Document copies received

For **TRADEWELL SECURITIES LIMITED**

Authorised Signatory

Date : .....

Seal/Stamp of the intermediary

## KNOW YOUR CLIENT (KYC) APPLICATION FORM

For Non-Individuals

Please fill this form in **ENGLISH** and in **BLOCK LETTERS** :

\* I / We request you to open in a demat & trading account my / our name as per following details

### A. IDENTITY DETAILS

1. Name of the Applicant : \_\_\_\_\_
2. Date of Incorporation : \_\_\_\_\_ (dd/mm/yyyy) & Place of incorporation : \_\_\_\_\_
3. Date of commencement of business : \_\_\_\_\_ (dd/mm/yyyy)
4. a. PAN : \_\_\_\_\_ b. Registration No. (E.g. CIN) : \_\_\_\_\_
5. (a) Sole / First Holder's Name \_\_\_\_\_ Search Name \_\_\_\_\_  
PAN \_\_\_\_\_ UID \_\_\_\_\_  
(b) Second Holder's Name \_\_\_\_\_  
PAN \_\_\_\_\_ UID \_\_\_\_\_  
(c) Third Holder's Name \_\_\_\_\_  
PAN \_\_\_\_\_ UID \_\_\_\_\_

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

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

### 6. Status (Please tick any one) :

Private Limited Co., / Public Ltd. Co. / Body Corporate / Partnership / Trust / Charities / NGO's / FI / FII / HUF / AOP / Bank / Government Body / Non-Government Organization / Defenses Establishment / BOI / Society / LLP / Others (Please Specify) \_\_\_\_\_

### B. ADDRESS DETAILS

1. Address of correspondence : \_\_\_\_\_  
\_\_\_\_\_  
City / Town / Village : \_\_\_\_\_ Pin Code : \_\_\_\_\_ State : \_\_\_\_\_ Country : \_\_\_\_\_
2. Contact Details : Tel. (Off.) \_\_\_\_\_ Tel. (Res.) \_\_\_\_\_ Mobile No. \_\_\_\_\_  
Fax : \_\_\_\_\_ Email-Id : \_\_\_\_\_
3. Specify the proof of address submitted for correspondence address : \_\_\_\_\_
4. Registered Address (if different from above) : \_\_\_\_\_  
\_\_\_\_\_  
City / Town / Village : \_\_\_\_\_ Pin Code : \_\_\_\_\_ State : \_\_\_\_\_ Country : \_\_\_\_\_

### C. OTHER DETAILS

1. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors  
\_\_\_\_\_
2. a) Name DIN of whole time Directors : \_\_\_\_\_  
b) Aadhaar number of promoters / Partners / Karta : \_\_\_\_\_
3. Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees / Whole time directors: ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)
4. Any Other Information : \_\_\_\_\_

### DECLARATION

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 aware that I/We may be held liable for it.

4

\_\_\_\_\_  
Name & Signature of the Authorised Signatory

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

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Name \_\_\_\_\_

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

Date : .....

Seal/Stamp of the intermediary

DP Internal Reference No.									Date								
DP ID No.	1	2	0	5	2	7	0	0	Client ID								

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

Status										Sub - Status								
<input type="checkbox"/> Body Corporate		<input type="checkbox"/> Banks		<input type="checkbox"/> Trust		<input type="checkbox"/> Mutual Fund		<input type="checkbox"/> OCB		<input type="checkbox"/> FII		To be filled by the DP						
<input type="checkbox"/> CM		<input type="checkbox"/> FI		<input type="checkbox"/> Clearing House		<input type="checkbox"/> Other (Specify)												
Date of Incorporation																		
SEBI Registration No. (If Applicable)								SEBI Registration Date										
ROC Registration No. (If Applicable)								ROC Registration Date										
RBI Registration No. (If Applicable)								RBI Approval Date										
Nationality										<input type="checkbox"/> Indian <input type="checkbox"/> Other (Specify)								

I / We have received and read the Rights & 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 changes(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.

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 instruction 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"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
I / We request you to send Electronic Transaction-cum Holding Statement at the email ID		<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive (Tick the applicable box. <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic the Annual report III Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both If not marked the default option would be in Physical)		
I / We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') (ECS is mandatory for locations notified by SEBI from time to time)		<input type="checkbox"/> Yes <input type="checkbox"/> No

	First/Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature	5		
Passport size Photo-graph	<div style="border: 1px solid black; padding: 5px; text-align: center;"> Affix your recent passport size photograph &amp; sign across it  6  <div style="border: 1px solid black; display: inline-block; padding: 2px;">sign across it</div> </div>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> Affix your recent passport size photograph &amp; sign across it  <div style="border: 1px solid black; display: inline-block; padding: 2px;">sign across it</div> </div>	<div style="border: 1px solid black; padding: 5px; text-align: center;"> Affix your recent passport size photograph &amp; sign across it  <div style="border: 1px solid black; display: inline-block; padding: 2px;">sign across it</div> </div>

DPID	1	2	0	5	2	7	0	0	Client ID								
------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

	First/Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Specimen Signature	7		

#### FOR OFFICE USE ONLY

☐ (Originals Verified) True Copies of Documents receive ☐ (Self-Attested) Self Certified Document copies received

For **TRADEWELL SECURITIES LIMITED**

**Authorised Signatory**

Date : .....

**Seal/Stamp of the intermediary**

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS :

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

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

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

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

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

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

### D. Exemptions/clarifications to PAN

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



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

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

**F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:**

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"><li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li><li>• Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).</li><li>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li><li>• Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</li><li>• Copies of the Memorandum and Articles of Association and certificate of incorporation.</li><li>• Copy of the Board Resolution for investment in securities market</li><li>• Authorised signatories list with specimen signatures.</li></ul>
Partnership firm	<ul style="list-style-type: none"><li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li><li>• Certificate of registration (for registered partnership firms only).</li><li>• Copy of partnership deed.</li><li>• Authorised signatories list with specimen signatures.</li><li>• Photograph, POI, POA, PAN of Partners.</li></ul>
Trust	<ul style="list-style-type: none"><li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li><li>• Certificate of registration (for registered trust only).</li><li>• Copy of Trust deed.</li><li>• List of trustees certified by managing trustees/CA.</li><li>• Photograph, POI, POA, PAN of Trustees.</li></ul>
HUF	<ul style="list-style-type: none"><li>• PAN of HUF.</li><li>• Deed of declaration of HUF/ List of coparceners.</li><li>• Bank pass-book/bank statement in the name of HUF.</li><li>• Photograph, POI, POA, PAN of Karta.</li></ul>
Unincorporated association or a body of individuals	<ul style="list-style-type: none"><li>• Proof of Existence/Constitution document</li><li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li><li>• Authorized signatories list with specimen signatures.</li></ul>
Banks/Institutional Investors	<ul style="list-style-type: none"><li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years</li><li>• Authorized signatories list with specimen signatures.</li></ul>
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"><li>• Copy of SEBI registration certificate.</li><li>• Authorized signatories list with specimen signatures.</li></ul>
Army/Government Bodies	<ul style="list-style-type: none"><li>• Self-certification on letterhead</li><li>• Authorized signatories list with specimen signatures.</li></ul>
Registered Society	<ul style="list-style-type: none"><li>• Copy of Registration Certificate under Societies Registration Act.</li><li>• List of Managing Committee members.</li><li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li><li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li></ul>

TRADING ACCOUNT RELATED DETAILS

Annexure- 3

A) BANK ACCOUNT DETAILS

For Individuals & Non-individuals

Bank Name	Branch Address	Bank Account No.	Account Type	MICR No.	IFSC Code

• Please provide Cancelled Cheque leaf for MICR & IFSC Code      \* Saving/Current, Others-In-case of NRI/NRE/NRO

B) DEPOSITORY ACCOUNT DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)

C) TRADING PREFERENCES **8** (Sign all if required)  
Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by client

Exchanges	Segments		
	F&O	Cash	Commoditite Derivatives
NSE	<b>8A</b>	<b>8B</b>	<b>8C</b>
BSE	<b>8D</b>	<b>8E</b>	
MCX	<b>8E</b>		

# 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.

D) 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: \_\_\_\_\_

E) DEALINGS THROUGH AP AND OTHER STOCK BROKERS

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

	NSE	BSE
AP Name		
Registered office address		
AP ID		
Phone:		
Fax:		
Website:		

- Whether dealing with any other stock broker/AP (in case dealing with multiple stock brokers/AP, provide details of all)  
Name of stock broker: \_\_\_\_\_ Name of AP, if any \_\_\_\_\_  
Client Code: \_\_\_\_\_ Exchange: \_\_\_\_\_  
Details of disputes/dues pending from/to such stock broker/AP : \_\_\_\_\_

F. ADDITIONAL DETAILS

- Whether you wish to receive ☐ Physical Contract note or ☐ Electronic Contract Note (ECN)  
Specify your Email id, if applicable: \_\_\_\_\_
- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): \_\_\_\_\_
- 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: (Attach Annexure) \_\_\_\_\_
- Any other information: \_\_\_\_\_

G) INTRODUCER DETAILS (optional)

Name of the Introducer : \_\_\_\_\_  
Status of the Introducer : Authorized Person/Existing Client/Others, please specify \_\_\_\_\_  
Address and phone no.of the Introducer: \_\_\_\_\_  
Signature of the Introducer : \_\_\_\_\_

H) **NOMINATION DETAILS (for individuals only)**

☐ **I/We wish to nominate**

Name of the Nominee : \_\_\_\_\_

PAN of Nominee : \_\_\_\_\_

Address and phone no. of the nominee : \_\_\_\_\_

☐ **I/We do not wish to nominate**

Relationship with the Nominee : \_\_\_\_\_

Date of Birth of Nominee : \_\_\_\_\_

**If Nominee is a minor, details of guardian:**

Name of guardian: \_\_\_\_\_

Address and phone no. of Guardian : \_\_\_\_\_

Signature of Guardian : \_\_\_\_\_

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

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

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

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

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

Address : \_\_\_\_\_

Address : \_\_\_\_\_

I) **OTHER DETAILS**

1. **Gross Annual Income Details (please specify)** : Income Range per annum: Up to ☐ 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac  
☐ 10-25 Lac ☐ >25 Lacs or **Net-worth as on** (date),\_\_\_\_\_ ( \_\_\_\_\_ ) (Net worth should not be older than 1 year)
2. **Occupation (please tick any one and give brief details)** : ☐ Private Sector ☐ Public Sector ☐ Government Service  
☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student  
☐ \_\_\_\_\_ Others
3. **Client Categorization** : ☐ i) Farmers / FPOs ☐ ii) Value Chain Participants (VCPs) ☐ iii) Proprietary Traders  
☐ iv) Domestic Financial Institutional Investors ☐ v) Foreign Participants ☐ vi) Others
4. **Please tick, if applicable** : ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)
5. **Education Qualifications** : ☐ Graduate ☐ Post Graduate ☐ Professional ☐ Other
6. **Welcome Kit** : ☐ Digital ☐ Physical
7. **Any other information** : \_\_\_\_\_

**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 any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, Iam/we am that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary / non-mandatory documents.
3. I/We further confirm having made understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document' and Do's and Donts. I/We do hereby agree to be bound by such provisions as outlined in fuse documents. I/We have also been informed that standard set of documents has been displayed for Information on Member's designated website, if any.
4. I would like to receives following documents in ☐ Physical or ☐ Digital mode through on my e-mail ID mentioned in the form. Rights & Obligation, Risk Disclosure documents & Do's & Don'ts.

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

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

( **9** )  
Signature of Client/ (all) Authorized Signatory (ies)

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client : .....

	Documents verified with original	Client Interviewed by	In person Verification done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. We have given/sent him a copy of all the KYC documents. 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. 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.

For **TRADEWELL SECURITIES LIMITED**

**Authorised Signatory**

**Date** : .....

**Seal/Stamp of the intermediary**

**Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL**  
 (SMS Alerts will be sent by CDSL to BOs for all debits)

<b>SMS Alert Facility</b> <b>Refer to Terms &amp; Conditions given as Annexure - 2.4</b>	Mobile No. +91 _____ [(Mandatory, if you are giving Power of Attorney (POA))] (If POA is not granted & you do not wish to avail of this facility, cancel this option)	<div>CDSL</div>									
<b>Transactions using Secured Texting Facility (TRUST), Refer to Terms &amp; Conditions Annexure - 2.6</b>	I wish to avail the TRUST facility using the Mobile number registered for SMS Alrty Facility. I have read and understood the Terms & Conditions prescribed by CDSL for the same. <div> <input type="checkbox"/> Yes                     <input type="checkbox"/> No                 </div> I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table> <tr> <th>Stock Exchange Name / ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </table>		Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name / ID	Clearing Member Name		Clearing Member ID (Optional)								
<b>Easi</b>	To register for Easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.										

**Definitions:**

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

- “Depository” means Central Depository Services (India) Limited a company incorporated in India under the Companies Act, 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai - 400 001 and all its branch offices and includes its successors and assigns.
- “DP” means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
- “BO” means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
- SMS means “Short Messaging Service”
- “Alerts” means a customized SMS sent to the BO over the said mobile phone number.
- “Service Provider” means a cellular service provider(s) whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
- “service” means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

**Availability :**

- The service will be provided to the BO at his/ her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / In definite period, with or without Issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
- The service is currently available to the BOs who are residing in India.
- The alerts will be provided to the BOs only if they remain within the range of the service provider’s service area or within the range forming part of the roaming network of the service provider. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
- The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

**Receiving Alerts :**

- The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration/ change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
- The BO acknowledges that the alerts will be received only in the mobile phone in ‘ON’ and in a mode to receive the SMS. If the mobile phone is in ‘Off’ mode i.e. unable to receive the alerts, then the BO may not get / get after delay any alerts sent during such period.
- The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
- The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
- The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
- The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account / unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
- The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
- The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
- If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

**Fees :**

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

**Disclaimer :**

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/misuse of such information by any third person.

**Liability and Indemnity :**

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO.

In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnfied the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses what so ever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

**Amendments :**

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

**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/transactlons 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 conditons 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 of 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

5

2

7

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

The mobile number is registered in the name of : \_\_\_\_\_

E-mail ID : \_\_\_\_\_  
(Please write only ONCE valid email ID on which communication, if any, is to be sent)

10

1<sup>st</sup>

\_\_\_\_\_

First Holder Signature

2<sup>nd</sup>

\_\_\_\_\_

Second Holder Signature

3<sup>rd</sup>

\_\_\_\_\_

Third Holder Signature

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

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



TRADEWELL SECURITIES LIMITED

Flat No. 204, Anushka Trendz, BN Reddy Colony, Road No. 14,  
Banjara Hills, Hyderabad - 500 034, Telangana,  
Ph.: +91-40-23541258, Fax : +91-40-23541256  
E-mail : info@tradewellmail.com

NOMINATION FORM

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

TRADEWELL SECURITIES LIMITED Flat No. 204, Anushka Trendz, BN Reddy Colony, Road No. 14, Banjara Hills, Hyderabad- 34, TS										FORM FOR NOMINATION (To be filled in by individual applying singly or jointly)																			
UCC																													
Date										DP ID	1	2	0	5	2	7	0	0	Client ID										
I/We wish to make a nomination [As per details given below]																													
Nomination Details																													
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my/our account in the event of my/our death.																													
Nomination can be made up to three nominees in the account										Details of 1 <sup>st</sup> Nominee							Details of 2 <sup>nd</sup> Nominee							Details of 3 <sup>rd</sup> Nominee					
1	Name of the Nominee(s) (Mr./Ms.)																												
2	Share of each Nominee			Equally (If not equally please specify percentage)							%							%							%				
										Any odd lot after division shall be transferred to the first nominee mentioned in the form.																			
3	Relationship with the Applicant (if any)																												
4	Address of Nominees(s)  City / Place State & Country																												
										Pin Code																			
5	Mobile / Telephone No. of Nominee(s)																												
6	Email ID of nominee(s)																												
7	Nominee Identification details (Please tick any one of following and provide details of same)  <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account No. <input type="checkbox"/> Demat Account ID																												
Sr. Nos. 8-14 should be filled only if nominees(s) is a minor :																													
8	Date of Birth [in case of minor nominee(s)]																												
9	Name of Guardian (Mr./Ms.) [in case of minor nominees(s)]																												
10	Address of Guardian(s)  City / Place : State & Country																												
										PIN Code																			
11	Mobile / Telephone No. of Guardian																												
12	E-mail ID of Guardian																												
13	Relationship of Guardian with Nominee																												
14	Guardians Identification details (Please tick any one of following and provide details of some)  <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN Account No. (Proof of Identity) <input type="checkbox"/> Demat Account ID																												
Name(s) of holder(s)																			Signature of holder*										
Sole / First Holder (Mr./Ms.)										11a																			
Second Holder (Mr./Ms.)																													
Third Holder (Mr./Ms.)																													

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.  
Note : (1) This nomination shall supersede any prior nomination made by the account holder(s), if any.  
(2) The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder.




TRADEWELL SECURITIES LIMITED

Flat No. 204, Anushka Trendz, BN Reddy Colony, Road No. 14,  
Banjara Hills, Hyderabad - 500 034, Telangana,  
Ph.: +91-40-23541258, Fax : +91-40-23541256  
E-mail : info@tradewellmail.com

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]

						Date	D	D	M	M	Y	Y	Y	Y
TO <b>TRADEWELL SECURITIES LIMITED</b> Flat No. 204, Anushka Trendz, BN Reddy Colony, Road No. 14, Banjara Hills, Hyderabad - 500 034, Telangana, Ph.: +91-40-23541258, Fax : +91-40-23541256 E-mail : info@tradewellmail.com														
U C C														
DP ID				1	2	0	5	2	7	0	0			
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.

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date

DPID	1	2	0	5	2	7	0	0	Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

TO  
TRADEWELL SECURITIES LIMITED  
Flat No. 204, Anushka Trendz, BN Reddy Colony,  
Road No. 14, Banjara Hills, Hyderabad - 500 034, Telangana,  
Ph.: +91-40-23541258, Fax : +91-40-23541256  
E-mail : info@tradewellmail.com

Dear Sir / Madam,

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

☐ 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 Power of Attorney (POA) / executed PMS agreement in favor of / with (name of the attorney / Clearing Member / PMS Manager) for executing delivery instructions for setting stock exchange trades (settle ment related transactions) effected through such Clearing member / by PMS manager.

Yours faithfully,	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	<div><div>12</div><div>1st</div></div>	2nd	3rd

=====

OR

☐ Option 2 :

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with (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. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	<div><div>13</div><div>1st</div></div>	2nd	3rd

===== (Please Tear here) =====  
Acknowledgement Receipt

Received option form for Issue / Non-issue of DIS booklet from :

DPID	1	2	0	5	2	7	0	0	Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

Depository Participant Seal and Signature



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

### 1. Definitions:

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

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

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

**17. Indemnity:**

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

**18. Disclaimer:**

Depository shall be absolved of any liability in case: -

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

BLANK

## POLICIES & PROCEDURE

### a) Policy for Penny Stock

A stock that trades at a relatively low price and market capitalization. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large bid-ask spreads, small capitalization and limited following and disclosure. Depend on the market condition and RMS policy of the company RMS reserve the right to refuse to provide the limit in Penny stocks and losses if any on account of such refusal shall be borne by client only.

b) **Setting up client's exposure limits** The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stockbroker'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 level/market level limits in security specific/volume specific exposures etc.), and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker 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 any 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 by stock broker/exchange/SEBI and any other reasons which the stock broker 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. We have margin based RMS system. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin applicable for respective security as per VAR based margining system of the stock exchange and/or margin defined by RMS based on their risk perception. Client may take benefit of "credit for sale" i.e. benefit of share held as margin by selling the same by selecting Delivery option through order entry window on the trading platform, the value of share sold will be added with the value of deposit and on the basis of that client may take fresh exposure. 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.

c) **Applicable brokerage rate:** Brokerage will be charged within the limits prescribed by SEBI/Exchange.

d) **Imposition of penalty/delayed payment charges** Clients will be liable to pay late pay in/delayed payment charges for non-making payment of their payin/margin obligation on time as per the exchange requirement/ schedule at the rate up to 2% per month. The client agrees that the stock broker may impose fines / penalties for any orders / trades / deals / actions of the client which are Client

contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment 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.

e) **The right to sell client's securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues** Without prejudice to the stock brokers other right (Including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the clients position without giving notice to the client for non-payment of margins or other amounts including the pay in obligation, outstanding debts etc. and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/ obligations.

The client shall ensure timely availability of funds/ securities in form and manner at designated time and in designated bank and depository account(s), for meeting his/her/its pay in obligation of funds and securities. Any and all losses and financial charges on account of such liquidations/ closing out shall be charged to & born by the client. In cases of securities lying in margin account/ client beneficiary account and having corporate actions like Bonus, Stock split, Right issue etc, for margin or other purpose the benefit of shares due to received under Bonus. Stock split. Right issue etc will be given when the shares is actually received in the stock broker designated demat account. In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit/ credit for the same only on the realization of the funds from the said bank instrument etc, at the absolute discretion of the stock broker. Where the margin / security is made available by way of securities or any other property. the stockbroker is empowered to decline its acceptance as margin / security &/or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/securities/shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

f) **Shortages in obligations arising out of internal netting of trades** Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation / clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first. The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is asunder:

- a) The Short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Payin/Payout Day. The securities delivered short are purchased from market on T+2 day and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
- b) If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T+2 day or Auction day on Exchange + 10% where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
- c) In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auctioned on cum basis or where the cum basis auction payout is after the book closure/record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.
- g) **Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client** We have margin based RMS system. Client may take exposure up to the amount of margin available with us. Client may not be allowed to take position in case of non-availability/shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/non making of payment for their payin obligation/outstanding debts.
- h) **Temporarily suspending or closing a client's account at the client's request** On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However, client shares/ledger balance settlement can take place. On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.
- i) **Deregistering a client:** - Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of 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 the Security;
  - (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;
  - (xi) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

**Inactive Client account:** Client account will be considered as inactive if the client does not trade for period of one year. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the shares/credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive. The client has to make written request for reactivation of their account. Trading in Exchange 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 or any breakdown in our back office/front end system, or any such other problems/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 shall be fully liable and responsible for any such problem/ fault.

**Client Acceptance of Policies and Procedures stated here in above:**

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through any one or more means or methods. I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and stock broker before any court of law / judicial / adjudicating authority including arbitrator/ mediator etc.

Client Signature : **15**\_\_\_\_\_



## TRADEWELL SECURITIES LIMITED

Flat No. 204, Anushka Trendz, BN Reddy Colony, Road No. 14,  
Banjara Hills, Hyderabad - 500 034, Telangana,  
Ph.: +91-40-23541258, Fax : +91-40-23541256  
E-mail : info@tradewellmail.com

**CDSL**

DP ID :

### Tariff Sheet Beneficiary Account opened with CSL

S.No.	Description	Scheme A	Scheme B	BSDA
1	Account Opening Charges	NIL	NIL	NIL
2	Account Opening Charges	Rs. 200/-	Rs. 300/-	Upto Rs. 50,000/- NIL
3	Purchase (Market & Off Market)	NIL	NIL	Rs.50,000/- to 2,00,000 Rs.100/-
4	Sale (Market & Off Market)	Rs. 12/- Per Transaction (including CDSL Charges)	0.02% of value of the Transaction minimum charges Rs. 17/- per transaction Maximum Rs. 25/-	Rs.10/- Per Transaction transaction (including CDSL Charges Rs.6/-)
5	Dematerialisation	Rs. 2/- Per Certificates + Rs. 25/- Courier Charges	Rs. 2/- Per Certificate + Rs. 25/- Courier Charges	Rs. 3/- Per Certificate + Rs. 25/- Courier Charges
6	Rematerialisation	A Fee of 20/- per every 100 securities or part thereof subject to maximum fee of 5,00,000/- or a Flat fee of 20/- per certificate, whichever is higher payable on confirmation of the request (Rs. 25/- Courier Charges	A fee of 30/- for every 100 securities or part thereof subject to maximum fee of 5,00,000/- or a flat fee of 50/- per certificate, whichever is higher payable on confirmation of the request (Rs. 25/- courier charges)	Rs. 20 per 100 shares + Rs. 25/- courier charges
7	Pledge	0.02% of value of the pledge minimum charges Rs. 24/- per transaction. Maximum Rs. 50/-	0.02% of value of the pledge minimum charges Rs. 36/- per transaction. Maximum Rs. 50/-	Rs. 25/- per Transaction
8	Mutual Fund	Rs. 12/- per transaction (including CDSL charges)	0.02% of value of the transaciton, minimum charges Rs. 17/- per transaction. Maximum Rs. 25/-	Rs. 25/- per Transaction

#### NOTE :

- Transaction cum billing statement will be sent once in a quarter. If customer wish to receive, account statement daily / Weekly / Fortnightly an amount of Rs. 50/- will be charged.
- \*This scheme will be valid for one year and willbe automatically renewed at the end of the year; unless a written communication is received.
- The above rates are based on the existing CDSL charges and will be revised on revision by CDSL. The charges are also subject to revision by TSL with 30 days prior Notice.
- Service Tax as applicable would be levied.
- # a) To open an Investor account with limited POA, customer should have a brokerage account or simultaneously open a brokerage account with TSL  
b) Customer needs to execute one time Limited "POA" (Doc charges Rs. 150/-) to avail hassle fnle, paper less "Automated Pay-in facility for his sales in TSL Braking Account
- Incase of corporate account, an Additional AMC of Rs. 500/- per Annum payable to CDSL would be collected.
- Billing will be done an monthly basis.

Scheme Opted : **Scheme A** \_\_\_\_\_ **Scheme B** \_\_\_\_\_

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First Holder Signature

Second Holder Signature

Third Holder Signature

### Tariff Sheet - Trading Account

Charges		Equity Intraday	Equity Delivery	Futures	Options	NSC CD
Brokerage						
Turnover Charges	NSE					
	BSE					
	MCX					
GST						
Stamp Duty						
STT						
SEBI Turnover Fee						
CTT						

Client Signature : **17** \_\_\_\_\_

Brokerage Code : \_\_\_\_\_

VOLUNTARY

## Letter of Authority / PRO Trading Disclosure

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

To,

**TRADEWELL SECURITIES LIMITED**

**Sir,**

Sub: Letter of Authority / PRO Trading Disclosure

I/we are dealing in securities with you at NSE / BSE / MCX (cash, derivatives, currency and commodity segment) and in order to facilitate ease of operations, I/we authorize you as under:

1. I/we authorize you to set off outstanding in any of our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the exchange or in any other exchanges and/or against the value of cash margin or collateral shares provided to you by us.
2. I/we hereby authorize you to keep all the securities which we give you in margin including the payout of securities received by us for meeting margin / other obligation in stock exchange in whatever manner which may include pledging of shares in favour of bank and / or taking loan against the same of meeting margin / pay-in obligation on our behalf or for giving the same as margin to the stock exchange or otherwise.
3. I/we will inform you the change of my/our e-mail, if any, in future either by regd.post or through physically.
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. 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 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 be fully liable and responsible for any such problems / fault.
5. I/we confirm that I/we will never sublet the trading terminal on any term of connectivity, from my/our place to any other place without your prior approval.
6. I/we am/are agreeable for inter-settlement transfer of securities towards settlement. I/we request you to settle my fund and securities account once in every calendar quarter or once in a calendar month or such other higher period as allowed by SEBI / Stock exchange time to time except the funds given towards collaterals/margin in form of Bank guarantee and/or fixed deposit receipt.
7. All fines/penalties and charges levied upon you due to my acts/deeds or transactions may be recovered by you from my account.
8. I/we have a trading as well as depository relationship with M/s Tradewell Securities Limited. Please debit the charges relevant with depository services from my/our trading account on monthly basis. I/we also agree to maintain the adequate balance in my trading account/pay adequate advance fee for the said reasons.
9. I know from you that you do client based trading and Pro-account trading in National Stock Exchange of India Ltd. (NSE) / Bombay stock Exchange Ltd. (BSE) / Multi Commodity Exchange (MCX).
10. I/we authorize you to transfer the credit balances in one exchange/segment to another exchange/segment as and when debit arises.
11. I/we authorize you to transfer the credit balances / security balances lying in my/our stock trading account to my demat /or vice versa and when debit arises and/or for margin requirements as and when required.
12. I/we hereby declare that I/we am/are not acting as AP or remiser and doing business only on my/own personal behalf.
13. a) I/we hereby agree that all the financial transactions between me/us and you shall be through account payee cheque/ demand draft / pay order and no cash transactions are permitted on either side. I/we hereby further agree that any claim of cash transaction by either party shall not be entertained by the other party.  
b) I/we hereby agree not to issue third party cheques/demand drafts/pay order for my/our transactions with you.
14. I/we hereby agree to give/take delivery of securities in demat mode from/to my/our own beneficiary account only.  
I/we hereby agree not to issue third party delivery instructions for my/our sale transactions. Further I/we agree not to deposit blank or unfilled delivery instructions with any of your office.
15. I/we hereby agree that the duly executed contract note issued by you shall only be valid and binding for all legal purposes.
16. I/we hereby accord my/our consent to you to do transactions in my/our account based on oral instructions over phone or otherwise. I/we also undertake to raise queries, if any, in writing immediately.
17. I/we hereby agree not to enter into any securities transactions/financial transactions/private deals with co-investors and employees/franchisees/associates of you and I/we am/are confined only to getting my/our orders executed on the trading terminals of the stock exchanges and settling those transactions as per the settlement schedules of the exchange.
18. I/we hereby agree to indemnify you full for any losses arising out of the delivery transactions in the securities held by me/ us or jointly with any other person/s.
19. I/we hereby accord my/our consent to you to debit my/our account to the extent of amount due by me to your depository division.
20. I/we agree to provide you our updated financial details on a yearly basis.
21. I/we agree to provide additional information, details, documents, etc. pertaining to me/us as required by NSE/BSE/MCX, SEBI or any other statutory bodies from time to time.

Signature of Client :  \_\_\_\_\_ Client Code : \_\_\_\_\_ Client Name : \_\_\_\_\_


**RUNNING ACCOUNT AUTHORISATION**

To,  
**TRADEWELL SECURITIES LIMITED**  
Sir,

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

I/We are dealing through you as a client in Capital Market and/or Future & option segment and/or currency segment and/or Interest Rate future Segment & 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 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 Exchanges(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 obligations(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 fund and securities account once in every calendar quarter ☐ or once in a calendar month ☐ or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
4. I hereby Authorize you to retain the funds up to Rs. 10,000/- to settlement of account in a calendar quarter ☐ or once in a month ☐
5. 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.
6. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in wiring 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 that the running account authorization letter can be revoke by me/us at any time.

Client Signature :  \_\_\_\_\_ Client Code : \_\_\_\_\_ Client Name : \_\_\_\_\_

**PAN CARD UNDERTAKING / AUTHORISATION LETTER FOR DEBITING DP CHARGES /  
CLIENT DEAFALTER DECLARATION**

To  
**TRADEWELL SECURITIES LIMITED**  
Flat No. 204, Anushka Trendz, BN Reddy Colony, Road No. 14,  
Banjara Hills, Hyderabad - 500 034, Telangana,

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

I, \_\_\_\_\_ S/o. D/o. W/o. \_\_\_\_\_  
Residing at \_\_\_\_\_  
Do hereby state as under :

I refer to my account opening application for a Trading account with M/s Tradewell Securities Limited in the name of \_\_\_\_\_ I do here by affirm, declare and undertake as under :

1. That my name as it appears on the PAN CARD is \_\_\_\_\_
2. That my name as it appears on the IT website is \_\_\_\_\_
3. That both the names, the name mentioned on the PAN CARD and the name as it appears on the IT website pertains to me.
4. That the name before my marriage was \_\_\_\_\_ and that the name after my marriage with \_\_\_\_\_ is \_\_\_\_\_
5. That the contents of this declaration have been explained to me in vernacular and I have understood the same before signing it.

I further declare that the above mentioned declaration / statement is true and correct.

Thanking you,

Yours sincerely,

  
( Client Signature )

Name \_\_\_\_\_ Client Code \_\_\_\_\_ Date \_\_\_\_\_



**ELECTRONIC CONTRACT NOTE (ECN) - DECLARATION**

To,  
**TRADEWELL SECURITIES LIMITED**  
Flat No. 204, Anushka Trendz, BN Reddy Colony, Road No. 14,  
Banjara Hills, Hyderabad - 500 034, Telangana,

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

Dear Sir,

I, \_\_\_\_\_ a client with Member  
M/s. TRADEWELL SECURITIES LIMITED member of MCX Exchange undertake as follows :

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is \* \_\_\_\_\_ . This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other Indian language known to me.
- I am aware that no-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.
- Any changes in email-id will be intimated to Tradewell Securities Limited.
- The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note and do hereby take full responsibility for the same.

Client Name : \_\_\_\_\_ UCC : \_\_\_\_\_ PAN : \_\_\_\_\_

Address : \_\_\_\_\_

Signature of the Client :  \_\_\_\_\_ Verified by designated officer Signature : \_\_\_\_\_

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

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

**\*(The email id must be written in own handwriting of the client.)**

**ANTI MONEY LAUNDERING (CUSTOMER DUE DELIGENCE CLAUSE)**

- I. The member must ensure that sufficient information about the client has been furnished. This is required to identify who is the actual beneficial owner of the securities transaction or for whom and/or whose behalf transaction is conducted.
  - 1. The Trading Member adopts such policies or may resort to such measures as to establish the credentials of the client's database submitted.
  - 2. Periodically, as and when the trade volumes register a hike and profits cross the limit vis-à-vis the financial status of the client produced with documentary evidence, the member reserves the right to probe a channel or source from which the client is receiving funds to carry on the trade. In such as event the authenticity or otherwise of the source of funds is established and if the source is proved to be questionable the client will be disabled from carrying on further trade and this agreement becomes void.
- II. In the true spirit of the agreement the Trading member believes that each and every transaction done by the client is genuine. If any discrepancy is noticed in the transaction at any point of time later the management has every right to detect such discrepancy in order to take preventive/corrective measure, which include sending confidential, reports to the concerned authorities under the law. If malpractice continues in the trade even after sufficient educational advice has been given to the client, the client runs the risk of losing his trading rights, may be for a brief period or sine die.

**KYC-NORMS**

- 1. The client must furnish all required information such as financial statements, client ledger, etc., completely.
- 2. It is the duty of the client to submit change in residential address with documentary evidence as defined under the field mandatory/voluntary.
- 3. The updated financial statements must be submitted by the clients periodically to the Trading Member of their accord.
- 4. Besides the information submitted in KYC form, any other information relevant and pertinent to the letter and spirit of the KYC form may be gathered from the client. The client has to furnish such details as are required when called upon to do so.

For **TRADEWELL SECURITIES LIMITED**

Authorised Signatory

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

DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)

Name of Client :

DP ID : 12052700

BOID :

(In case of individual)

Name of the First Holder :

Name of the Second Holder :

Name of Third Holder :

UCC :

I / We am/are desirous of executing the **Demat Debit and Pledge Instruction with TRADEWELL SECURITIES LIMITED** member : - BSE, NSE, MCX and DP - CDSL for the below purpose only.

S.No.	Purpose	Signature of Client*
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement Obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.	
2.	Please / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients of Stock Exchange.	
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms.	
4.	Tendering shares in open offers through Stock Exchange platforms	

\* The same may be esigned or signed physically

For **TRADEWELL SECURITIES LIMITED**

Authorised Signature

**Annexure `A`**

<b>Sr. No.</b>	<b>Name of the Account Holder</b>	<b>NSDL/CDSL Demat A/c. No.</b>	<b>DP Name</b>	<b>Purpose</b>
1.	Tradewell Securities Limited	IN514322-IN301022	Tradewell Securities Limited	NSE PAY IN A/C
2.	Tradewell Securities Limited	IN631878-IN301022	Tradewell Securities Limited	NSE PAY IN A/C
3.	Tradewell Securities Limited	1205270000006097	Tradewell Securities Limited	NSE CM A/C
4.	Tradewell Securities Limited	1205270000006063	Tradewell Securities Limited	BSE CM A/C
5.	Tradewell Securities Limited	1100001000016890	Tradewell Securities Limited	NSE Early Pay in A/c.
6.	Tradewell Securities Limited	1100001000015983	Tradewell Securities Limited	BSE Early Pay in A/c.

**Annexure `B`**

1.	Tradewell Securities Limited	12052700000075096	Tradewell Securities Limited	CM/TM-CMPA
2.	Tradewell Securities Limited	12052700000084094	Tradewell Securities Limited	Client Unpaid Securities Account Pledge

For **Tradewell Securities Limited**

\* Signature of Client

Authorised Signature

FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) - (CRS) DECLARATION FORM

(Mandatory for all investors (Guardian in case of minor) and Joint holder(s))

To,  
The Compliance Officer  
TRADEWELL SECURITIES LIMITED  
Flat No. 204, Anushka Trendz, BN Reddy Colony,  
Road No. 14, BanjaraHills, Hyderabad - 500034.

APPLICAN'TS INFORMATION

Trading A/c No. Demat A/c. No. 1205270000

Is 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.	Country of Tax Residency if	Foreign Address	Tax Payer Indentification Number/Functional Equivalent	Identification Type (TIN) or other, please specify*
1				
2				
3				

# 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 & SIGNATURE(S) (To be signed as per made of holding)

Client agrees to provide the trading member and/or depository participant with any documentation of information requested relating to individual or entity tax status. To the extent required by the trading member and/or depository participant, client hereby consent to the disclosure and reporting of any tax related information obtained or held by the trading member and/or depository participant to any local are foreign regulatory or tax authority : (Tax Authority) upon request by the trading member and or depository participant client here by agrees to obtain written waiver or consent from the entity's "substantial owners" or "controlling persons" shall have the meaning as defined under local or foreign tax laws, regulatory guidance or inter governmental cooperation agreements. The potential consequences ffor failure to comply with requests for tax information, failure to respond to requests for viewers or consents for 18% information disclosure, and/or failure to respond to requests to obtain waivers or consents from substantial owners or controlling person.s Include, but are not limited to : (a) trading member and/or depository participants has the right to carry out actions whcih are necessary to comply with the local or foreign tax reporing obligations, (b) trading member and/or depository participant has the ability to withhold taxes that may be due from certain payments made to the client's account. (c) tracking member and/or depostory participant has the right to pay relevant taxes to the appropriate fax authority. (d) trading member and/or depostory participant has the right to refuse to provide certain services; and (e) trading member and/or depostory participant has the discretion to close client accounts. The client agrees to inform, or respond to any request from, the trading members and / or depository participant, if there are any changes to tax information previously provided.

1st Applicant	2nd Applicant	3rd Applicant
23		

Date : Place :

Please provide the below listed documents:

Documents	Identity	Address	Signature	Bank Proof	DP Proof
• PAN card with signature					
• Client Master List / Holding Statement (Not more than 2 months old)					
• Passport (Clear copy of Name, Address & Photo)					
• Driving License (Clear copy of Name, Address & Photo)					
• Voter's Identity Card (Both Front & Back)					
• Ration Card					
• Bank Passbook / Bank Statement					
• Cheque leaf along with bank Statement or bank Passbook					
• Rent Agreement					
• Electricity, Water, Landline Telephone Bill (Not more than 2 months old)					
• Aadhar Card					

INSTRUCTIONS / CHEK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list :

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

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:

a) 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.

b) 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:

a) Form need to be initialized by all the authorized signatories.

b) 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.

