

KYC Type: _____
Promo Code: _____
Product: _____
YSL lead ID: _____
(For Branch use only)
Branch Code: _____
Branch Name: _____

Application Form No: _____
(For Head Office use only)
Demat Client ID: _____
Date (DD/MM/YY):
UCC: _____
Risk Categorization:
(For Trading Account): _____

Affix branch
inward stamp
here

FOR OFFICE USE ONLY

LG Code	<input type="text"/>	LG Employee Name:	<input type="text"/>
LC Code	<input type="text"/>	LC Name:	<input type="text"/>
AP Code	<input type="text"/>	AP Name:	<input type="text"/>

DO NOT FORGET TO TAKE YOUR ACKNOWLEDGEMENT COPY



TRADING AND DEMAT ACCOUNT OPENING FORM FOR CDSL NRI

PART A

YES SECURITIES (INDIA) LIMITED

Registered office - YES BANK House, Off Western Express Highway, 2nd Floor, North Side, Santacruz East, Mumbai – 400 055.
Correspondence address - YES Securities (India) Limited, AFL House, 4th Floor, Lok Bharti Complex, Marol Maroshi Road, Andheri (E), Mumbai – 400 059.

ACCOUNT OPENING KIT

INDEX OF THE DOCUMENTS

Sr. No.	Name of the Document	Brief Significance of the Document	Section	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES				
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction / check list B. Additional KYC details for opening Demat Account with YES Securities (India) Ltd. C. Document captures the additional information about the constituent relevant to trading account and an instruction / check list.	PART A	2,13
2.	Tariff sheet	Documents detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) with YES Securities (India) Ltd.	PART A	7-10
3.	Rights & Obligations of Beneficial Owner and Depository Participant	Document stating the Rights & Obligations of Depository Account Holder.	PART D	
4.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, authorised person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading)	PART B	
5.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	PART B	
6.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	PART B	
7.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	PART A & B	
8.	CKYC Annexure	For Resident / Non-Resident Individuals additional mailing address / related person	PART A	2-4 & 6
9.	Investor Charter for Stock Broker	Document detailing the services provided to Investors, Rights of Investors, various activities of Stock Brokers with timelines, DOs and DON'Ts for Investors and Grievance Redressal Mechanism	PART B	
10.	Investor Charter for Depository Participant	Document detailing the services provided to Investors, Rights of Investors, various activities of Depository Participant with timelines, Dos and DON'Ts for Investors and Grievance Redressal Mechanism	PART D	Separate Copy for Client
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER				
11.	Bank Mandate and DDPI	Document required for linkage of Bank and Demat account for experience of seamless trading in securities.	PART A	1A-3A
12.	Voluntary Authorisations and Declarations	Declarations / Authorisation from client for various purposes including maintaining account on running basis.	PART A	15-17
13.	Voluntary Clauses	Additional clauses other than specified by SEBI to facilitate transaction of client.	PART C	
14.	Intimation of Prevention of Money Laundering Act	Document is to make the client aware of Prevention of Money Laundering provisions.	PART C	
15.	Rights & Obligations of Margin Trading Facility (MTF)	Document stating the Rights & Obligations of Margin Trading Facility (MTF)	PART C	Separate Copy for Client
Registered Office Address				
YES BANK House, Off Western Express Highway, 2nd Floor, North Side, Santacruz (E), Mumbai - 400 055.				
Correspondence Office Address:				
YES Securities (India) Limited, AFL House, 4th Floor, Lok Bharti Complex, Marol Maroshi Road, Andheri (E), Mumbai - 400 059.				
Compliance Officer Name, Phone No. & Email ID:				
Mr. Aditya Goenka, (022) 6507 8127, compliance@ysil.in				
CEO Name, Phone No. & Email ID:				
Managing Director & CEO - Mr. Anshul Arzare (022) 65078120, ceo@ysil.in				
Name of Stock Broker / Trading Member / Clearing Member				
YES Securities (India) Limited				
SEBI Registration No.: INZ000185632 (Member Code.: BSE – 6538, NSE- 14914, MCX – 56355, NCDEX – 1289)				
SEBI Registration No.: IN-DP-653-2021 (CDSL – 12094600 & NSDL – IN304527) GST : 27AAACY6065C1ZD				
INVESTMENT ADVISORY - INA000007331				
RESEARCH ANALYST - INH000002376				
MERCHANT BANKER - INM000012227				
AMFI ARN Code: 94338				
CIN: U74992MH2013PLC240971				
(CAT III AIF) SEBI Registration No. IN/AIF3/20-21/0818				
For any grievance / dispute please contact				
YES Securities (India) Ltd. at the above address or email us at customer.service@ysil.in or call at (022-7100 9830)				
In case you are not satisfied with the response, please contact concerned exchanges and depository.:				
BSE at is@bseindia.com ; Tel. No. 022-2272 8097 / 022-2272 1233/34,				
NSE at ignse@nse.co.in ; Tel No. 1800 22 0058 / 022-2659 8190,				
MCX at grievance@mcmxindia.com ; Tel. No. 022-6649 4070 / 022-6731 8888,				
NCDEX at ig@ncdex.com ; Tel. No.: 022-6640 6789 / 022-6640 6084,				
CDSL at complaints@cdslindia.com ; Tel. No.: 1800-22-5533				
NSDL at relations@nsdl.co.in ; Tel No: 1800 1020 990 / 1800 224 430				
SEBI score link - https://scores.sebi.gov.in/				

KNOW YOUR CLIENT (KYC) FORM FOR INDIVIDUALS

Registered Office - YES BANK House, Off Western Express Highway, 2nd Floor,
North Side, Santacruz East, Mumbai – 400 055.

Correspondence Address - YES Securities (India) Limited, AFL House, 4th Floor,
Lok Bharti Complex, Marol Maroshi Road, Andheri (E), Mumbai – 400 059.

 YES SECURITIES

KNOW YOUR CLIENT APPLICATION FORM (KYC) - FOR INDIVIDUAL-1st / Sole Holder

A. IDENTITY DETAILS (Please see guidelines overleaf)

1. Name of the Applicant: (As appearing in supporting Identification document)

Prefix	First Name	Middle Name	Last Name
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PHOTOGRAPH

Please affix
the recent passport
size Photograph and
sign

2. Maiden Name (If any):

3. Father/ Husband :

4. Mother Name :

5. (a) Gender: Male Female Transgender (b) Marital Status: Single Married Other _____

6. Nationality: Indian Other _____ (c) Date of Birth: D D M M Y Y Y Y

7. Aadhaar : x x x x x x x 8. Legal Entity Identifier (LEI) No. _____

9. Status: (Please) Resident Non Resident Foreign National (Passport copy mandatory for NRIs & Foreign Nationals)

10. (a) PAN _____ (Please enclose a duly attested copy of your PAN card)

11. Specify the proof of Identity submitted Passport Voter ID Driving License Others

ADDRESS DETAILS

Preferred Mailing Address Resident / Correspondence Permanent Address (If preferred mailing address not specified, by default the Communication / Corporate benefit shall be sent to Permanent address)

1. Resident / Correspondence Address :

2. Permanent Address/Overseas of Resident Applicant if different from Correspondence Address

Landmark: _____

City/ Town/ Village: _____ PIN Code: _____
State: _____ Country: _____

GST Registered (Goods and Services Tax) Yes No GSTIN No (If GST Registered) _____

Note : Proof of GST registration is required if selected Yes (Related to correspondence address only)

Address Type : Residential / Business Residential
 Business Registered Office Unspecified

Address Type : Residential / Business Residential
 Business Registered Office Unspecified

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport Driving License Voter Identity Card
 Utility Bill (Latest 2 Months)
 UID _____ Others _____ (Please specify)

Passport Driving License Voter Identity Card
 Utility Bill (Latest 2 Months)
 UID _____ Others _____ (Please specify)

Document No. : _____ Date of Issue: D D M M Y Y

Document No. : _____ Date of Issue: D D M M Y Y

Validity/Expiry date of proof of address submitted *Not more than 3 Months old.

4. Contact Details: Tel (Off) : (I S D) (S T D) _____

Tel (Res) : (I S D) (S T D) _____

Mobile No.: _____

Fax No.: (I S D) (S T D) _____

E-mail ID: _____

APPLICANT DECLARATION

- I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.
- I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.
- I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other intermediaries with whom I have a business relationship for KYC purposes only.
- My personal/KYC details may be shared with Central KYC Registry. I hereby consent to receiving information for Central KYC Registry through SMS / Email on the above registered number mail address. YES Securities (India) Ltd. - POS: 1200006538, CKYC: IN3900

FOR OFFICE USE ONLY

The signatory confirms the following:

Originals Verified and Self Attested Document copies received
 In Person Verification (IPV) details:

Client Interviewed By _____

Name of the staff who has carried out the in-person verification _____

Designation _____

Emp. code _____

Branch code

Emp. Signature _____

Name of the Organisation: _____



D D M M Y Y Y Y

Signature of the Applicant

1

Date: D D M M Y Y Y Y

Place: _____



KNOW YOUR CLIENT (KYC) FORM FOR INDIVIDUALS

Registered Office - YES BANK House, Off Western Express Highway, 2nd Floor,
North Side, Santacruz East, Mumbai – 400 055.

YES SECURITIES

Correspondence Address - YES Securities (India) Limited, AFL House, 4th Floor,
Lok Bharti Complex, Marol Maroshi Road, Andheri (E), Mumbai – 400 059.

KNOW YOUR CLIENT APPLICATION FORM (KYC) - FOR INDIVIDUAL-2nd / Second Holder

A. IDENTITY DETAILS (Please see guidelines overleaf)

1. Name of the Applicant: (As appearing in supporting Identification document)

Prefix	First Name	Middle Name	Last Name
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PHOTOGRAPH

Please affix
the recent passport
size Photograph and
sign

2. Maiden Name (If any):

3. Father/ Husband :

4. Mother Name :

5. (a) Gender: Male Female Transgender (b) Marital Status: Single Married Other _____

6. Nationality: Indian Other _____ (c) Date of Birth: D D M M Y Y Y Y

7. Aadhaar : 8. Legal Entity Identifier (LEI) No.

9. Status: (Please) Resident Non Resident Foreign National (Passport copy mandatory for NRIs & Foreign Nationals)

10. (a) PAN (Please enclose a duly attested copy of your PAN card)

11. Specify the proof of Identity submitted Passport Voter ID Driving License Others

ADDRESS DETAILS

Preferred Mailing Address Resident / Correspondence Permanent Address (If preferred mailing address not specified, by default the Communication / Corporate benefit shall be sent to Permanent address)

1. Resident / Correspondence Address :

2. Permanent Address/Overseas of Resident Applicant if different from Correspondence Address

Landmark: _____

City/ Town/ Village: _____ PIN Code: State: _____ Country: _____

Landmark: _____

City/ Town/ Village: _____ PIN Code: State: _____ Country: _____

GST Registered (Goods and Services Tax) Yes No GSTIN No (If GST Registered)

Note : Proof of GST registration is required if selected Yes (Related to correspondence address only)

Address Type : Residential / Business Residential
 Business Registered Office Unspecified

Address Type : Residential / Business Residential
 Business Registered Office Unspecified

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport Driving License Voter Identity Card
 Utility Bill (Latest 2 Months)
 UID _____ Others (Please specify)

Passport Driving License Voter Identity Card
 Utility Bill (Latest 2 Months)
 UID _____ Others (Please specify)

Document No. : _____ Date of Issue: D D M M Y Y

Document No. : _____ Date of Issue: D D M M Y Y

Validity/Expiry date of proof of address submitted *Not more than 3 Months old.

Validity/Expiry date of proof of address submitted *Not more than 3 Months old.

4. Contact Details: Tel (Off) : (I S D) (S T D)

Tel (Res) : (I S D) (S T D)

Mobile No.:

Fax No.: (I S D) (S T D)

E-mail ID:

APPLICANT DECLARATION

- I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.
- I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.
- I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.
- My personal/KYC details may be shared with Central KYC Registry. I hereby consent to receiving information for Central KYC Registry through SMS / Email on the above registered number mail address. YES Securities (India) Ltd. - P.O: 1200006538, CKYC: IN3900

FOR OFFICE USE ONLY	The signatory confirms the following:	
	<input type="checkbox"/> Originals Verified and Self Attested Document copies received	<div style="text-align: center;">  <input type="checkbox"/> D <input type="checkbox"/> D <input type="checkbox"/> M <input type="checkbox"/> M <input type="checkbox"/> Y <input type="checkbox"/> Y <input type="checkbox"/> Y </div>
	<input type="checkbox"/> In Person Verification (IPV) details:	
	Client Interviewed By _____	
	Name of the staff who has carried out the in-person verification _____	
	Designation _____	
	Emp. code _____	
	Branch code <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
	Emp. Signature _____	
	Name of the Organisation: _____	
Signature of the Applicant		
Date: <input type="checkbox"/> D <input type="checkbox"/> D <input type="checkbox"/> M <input type="checkbox"/> M <input type="checkbox"/> Y <input type="checkbox"/> Y <input type="checkbox"/> Y		
Place _____		



KNOW YOUR CLIENT (KYC) FORM FOR INDIVIDUALS

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North Side, Santacruz East, Mumbai – 400 055.

Correspondence Address - YES Securities (India) Limited, AFL House, 4th Floor,
Lok Bharti Complex, Marol Maroshi Road, Andheri (E), Mumbai – 400 059.

 YES SECURITIES

KNOW YOUR CLIENT APPLICATION FORM (KYC) - FOR INDIVIDUAL-3rd / Third Holder

A. IDENTITY DETAILS (Please see guidelines overleaf)

1. Name of the Applicant: (As appearing in supporting Identification document)

Prefix	First Name	Middle Name	Last Name
--------	------------	-------------	-----------

PHOTOGRAPH

Please affix
the recent passport
size Photograph and
sign

2. Maiden Name (If any):

3. Father/ Husband :

4. Mother Name :

5. (a) Gender: Male Female Transgender (b) Marital Status: Single Married Other _____

6. Nationality: Indian Other _____ (c) Date of Birth: D D M M Y Y Y Y

7. Aadhaar : X X X X X X X X 8. Legal Entity Identifier (LEI) No. XXXXXXXXXXXXXX

9. Status: (Please) Resident Non Resident Foreign National (Passport copy mandatory for NRIs & Foreign Nationals)

10. (a) PAN XXXXXXXXXXXXXX (Please enclose a duly attested copy of your PAN card)

11. Specify the proof of Identity submitted Passport Voter ID Driving License Others

ADDRESS DETAILS Preferred Mailing Address Resident / Correspondence Permanent Address (If preferred mailing address not specified, by default the Communication / Corporate benefit shall be sent to Permanent address)

1. Resident / Correspondence Address :

2. Permanent Address/Overseas of Resident Applicant if different from Correspondence Address

Landmark: _____

City/ Town/ Village: _____ PIN Code: XXXXXX
State: _____ Country: _____

GST Registered (Goods and Services Tax) Yes No GSTIN No (If GST Registered) XXXXXXXXXXXXXX

Note : Proof of GST registration is required if selected Yes (Related to correspondence address only)

Address Type : Residential / Business Residential
 Business Registered Office Unspecified

Address Type : Residential / Business Residential
 Business Registered Office Unspecified

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport Driving License Voter Identity Card
 Utility Bill (Latest 2 Months)
 UID _____ Others (Please specify)

Passport Driving License Voter Identity Card
 Utility Bill (Latest 2 Months)
 UID _____ Others (Please specify)

Document No. : _____ Date of Issue: D D M M Y Y

Document No. : _____ Date of Issue: D D M M Y Y

Validity/Expiry date of proof of address submitted (Not more than 3 Months old)

Validity/Expiry date of proof of address submitted (Not more than 3 Months old)

4. Contact Details: Tel (Off) : (I S D)(S T D) XXX XXX

Tel (Res) : (I S D)(S T D) XXX XXX

Mobile No.: XXXXXXXXXXXXXX

Fax No.: (I S D)(S T D) XXX XXX

E-mail ID: XXXXXXXXXXXXXX

APPLICANT DECLARATION

- I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.
- I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.
- I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.
- My personal/KYC details may be shared with Central KYC Registry. I hereby consent to receiving information for Central KYC Registry through SMS / Email on the above registered number mail address. YES Securities (India) Ltd. - POS: 1200006538, CKYC: IN3900

FOR OFFICE USE ONLY

The signatory confirms the following:

Originals Verified and Self Attested Document copies received
 In Person Verification (IPV) details:

Client Interviewed By _____

Name of the staff who has carried out the in-person verification _____

Designation _____

Emp. code _____

Branch code XXX

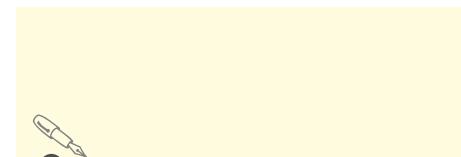
Emp. Signature _____

Signature of Authorised Signatory _____



D D M M Y Y Y Y

Signature of the Applicant





Date: D D M M Y Y Y Y

Place _____

ACCOUNT OPENING FORM

(Please fill all the details in CAPITAL LETTERS only)

1. DEPOSITORY SERVICE

 CDSL DP ID : 12094600Client ID :

I/We wish to open Depository Account with as per the following details:

2. DETAILS OF ACCOUNT HOLDER(S)

	First Holder		Second Holder		Third Holder	
Client Name						
PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
UID						
UCC						
Exchange Name & ID						
Occupation	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist
	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired
	<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife	<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife	<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife
	<input type="checkbox"/> Business	<input type="checkbox"/> Student	<input type="checkbox"/> Business	<input type="checkbox"/> Student	<input type="checkbox"/> Business	<input type="checkbox"/> Student
	<input type="checkbox"/> Professional	<input type="checkbox"/> Others _____	<input type="checkbox"/> Professional	<input type="checkbox"/> Others _____	<input type="checkbox"/> Professional	<input type="checkbox"/> Others _____
Nature of Business	<input type="checkbox"/> Manufacturer	<input type="checkbox"/> Services	<input type="checkbox"/> Manufacturer	<input type="checkbox"/> Services	<input type="checkbox"/> Manufacturer	<input type="checkbox"/> Services
	<input type="checkbox"/> Trading	<input type="checkbox"/> Consultancy	<input type="checkbox"/> Trading	<input type="checkbox"/> Consultancy	<input type="checkbox"/> Trading	<input type="checkbox"/> Consultancy
	<input type="checkbox"/> Others _____		<input type="checkbox"/> Others _____		<input type="checkbox"/> Others _____	

3. For Association of persons (AOP), Partnership Firm, Unregistered Trust, etc, although the account is opened in the name of the natural persons, the name and PAN of the Associations of persons (AOP) Partnership Firm, Unregistered Trust etc. Should be mentioned below :

(a) Name

(b) PAN

4. TYPE OF ACCOUNT

Status	Sub - Status			
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI Non Repatriable	<input type="checkbox"/> NRI Non Repatriable Promoter	<input type="checkbox"/> Other (specify) _____
	<input type="checkbox"/> NRI Repatriable Promoter	<input type="checkbox"/> NRI - Depository Receipts		

Please tick, if applicable: Politically Exposed Person (PEP) Related to Politically Exposed Person (RPEP)

Additional KYC form for Demat & Trading Account related details

Registered Office - YES BANK House, Off Western Express Highway, 2nd Floor,
North Side, Santacruz East, Mumbai – 400 055.

Correspondence Address - YES Securities (India) Limited, AFL House, 4th Floor,
Lok Bharti Complex, Marol Maroshi Road, Andheri (E), Mumbai – 400 059.

(To be filled by applicant only)

 YES SECURITIES

DEPOSITORY ACCOUNT DETAILS

Depository Participant Name: YES SECURITIES (INDIA) LIMITED Beneficiary Name: _____

Depository Name: CDSL DP ID:

1	2	0	9	4	6	0	0
---	---	---	---	---	---	---	---

 Client ID (BO ID):

--	--	--	--	--	--	--	--

TRADING PREFERENCES

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

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

Exchanges	NSE, BSE					MCX
All Segments	Cash/ Mutual Fund		F&O	Currency	Debt	Commodity Derivatives
					NA	

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

If in future, the client want to trade on any new segment / new exchange, separate authorisation / letter would be required. Please specify the proof submitted to avail the privileges to trade in derivatives segment: (Please refer page 13)

Note - You will not get the access of exchange in which YES Securities (India) Ltd is not registered or active.

INTRODUCER DETAILS (Optional)

Name:	<input type="text"/>		
Status:	<input type="checkbox"/> Remisier	<input type="checkbox"/> Authorised Person	<input type="checkbox"/> Existing Clients
Address:	<input type="text"/>		
	<input type="text"/> Phone: <input type="text"/>		
	<input checked="" type="checkbox"/> Signature of Introducer		

OTHERS DETAILS (PLEASE SPECIFY)

<input type="checkbox"/> Copy of ITR acknowledgement	<input type="checkbox"/> Copy of annual accounts	<input type="checkbox"/> Copy of Form 16	<input type="checkbox"/> Networth certificate										
<input type="checkbox"/> Salary slip	<input type="checkbox"/> Bank account statement for last 6 months	<input type="checkbox"/> Copy of demat account holding statement											
Gross Annual Income		a) Income Range per Annum:											
Details: (Please specify)		<input type="checkbox"/> Below Rs.1,00,000	<input type="checkbox"/> Rs.1,00,001 to Rs.5,00,000	<input type="checkbox"/> Rs.5,00,001 to Rs.10,00,000									
		<input type="checkbox"/> Rs.10,00,001 to Rs.25,00,000	<input type="checkbox"/> More than Rs.25,00,001	OR									
b) Networth Rs. _____ as on		<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table> (Networth should not be older than one year)				D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y						

DEPOSITORY ACCOUNT DETAILS (APPLICABLE IN CASE OF NON - YES Securities (India) Ltd. DEMAT ACCOUNTS)

Depository Participant Name and Address	<input type="text"/>		
Depository Name	<input type="text"/>		
DP ID	<input type="text"/>		
Beneficiary Name	<input type="text"/>		
BO Account Number: <input type="text"/>			

Note : YES Securities (India) Ltd. Demat Account will be default Demat Account for securities pay out.

COMTRACK ACCOUNT DETAILS :

CP Name & Address :	<input type="text"/>		
	<input type="text"/>		
CP ID :	<input type="text"/>		
CMS (E) ID :	<input type="text"/>		

COMRIS ACCOUNT DETAILS :

CP Name & Address :	<input type="text"/>		
	<input type="text"/>		
COMRIS ID :	<input type="text"/>		

DEALINGS THROUGH AP AND OTHER STOCK BROKERS

AP Name & Code:	If client is dealing through the AP provide the following details:		
Registered office address:			
SEBI / AP Registration No.:	Tel.	Fax	
Authorised Person's Code :			
Name :			
Address :			
Whether dealing with any other stock broker /AP (if case dealing with multiple stock brokers /APs, 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: _____			

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:

Particulars	Name of Authority	Month & Year of Action

Please tick, if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not a PEP <input type="checkbox"/> Not Related to PEP
Experience in securities Market	Number of years of Investment/Trading Experience: <input type="text"/> <input type="text"/> No Experience: <input type="checkbox"/>
Any other information:	_____

STANDARD DECLARATIONS

Mode of receiving statement of accounts	<input type="checkbox"/> Electronic	<input type="checkbox"/> Physical	(If not marked, the default option would be Electronic)		
I authorize YES Securities (India) Ltd. to receive credits automatically into my account	<input type="checkbox"/> Yes	<input type="checkbox"/> No	(If not marked, the default option would be 'Yes')		
Receive SMS alerts with respect to Demat transactions	<input type="checkbox"/> Yes	<input type="checkbox"/> No	(If not marked, the default option would be 'Yes')		
Whether you wish to receive:	<input type="checkbox"/> Physical contract note <input type="checkbox"/> Electronic Contract Note (ECN)				
Account to be operated through DDPI	<input type="checkbox"/> Yes	<input type="checkbox"/> No			
Register for e-Delivery Instruction Slip (e-DIS) facility of CDSL	<input type="checkbox"/> Yes	<input type="checkbox"/> No			
Do you have a Demat Account with us with the same pattern of Holdings If Yes, reason of opening another Demat account _____	<input type="checkbox"/> Yes	<input type="checkbox"/> No			
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 (as specified in KYC form)	<input type="checkbox"/> Yes <input type="checkbox"/> No				
I / We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No				
I / We would like to receive the Annual Report	<input type="checkbox"/> Physical	<input type="checkbox"/> Electronic	<input type="checkbox"/> Both Physical and Electronic	(Tick the applicable box. If not marked the default option would be in Physical)	
I / We wish to receive dividend / interest directly in to my bank account as given below through ECS [If not marked, the default option will be 'Yes'], [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No				
SMS Alert facility: [Mandatory if you are giving (DDPI). Ensure that the mobile number is provided in the KYC Application Form] (Default is "Yes" if not indicated)	<input type="checkbox"/> Yes <input type="checkbox"/> No				
Easi	To register for Easi, please visit our website www.cdsindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.				<input type="checkbox"/> Yes <input type="checkbox"/> No
Authorized to transfer DP debit to respective trading code ledger				<input type="checkbox"/> Yes <input type="checkbox"/> No	
MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)				<input type="checkbox"/> Jointly <input type="checkbox"/> Any one of holder	
Consent for Communication to be received by first account holder/ all Account holder : (Tick the applicable box. If not marked the default option would be first holder.					
<input type="checkbox"/> First Holder	<input type="checkbox"/> All Holder	Email id			
	<input type="checkbox"/> Second Holder				
	<input type="checkbox"/> Third Holder				

Option for Issue of DIS Booklet

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 of my/our CDSL account though I/we have registered for eDIS / executed PMS Agreement in favour of / with YES Securities (India) Limited for executing delivery instruction for settling stock exchanges trades (settlement related transactions) effected through you for executing delivery instructions through eDIS.

Option 2 : I/ We do not require the Delivery Instruction Slips (DIS) booklet for the time being, since I / We have registered for eDIS / executed PMS agreement in favour of / with YES Securities (India) Limited for executing delivery instructions for settling stock exchange trades (settlement related transaction) effected through you or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

Date:

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---



Signature of Client



Place _____



Signature of Client



Definitions:

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

1. "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, PJ. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. '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.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

1. 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 / indefinite 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.
2. The service is currently available to the BOs who are residing in India.
3. 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.
4. 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.
5. 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:

1. 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.
2. The BO acknowledges that the alerts will be received only if the mobile phone is 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.
3. 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.
4. 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.
5. 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.
6. **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. 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.**
7. 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.
8. 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.
9. 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 indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever 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/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

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

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

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

I/We provide the following information for the purpose of **REGISTRATION**

BOID

(Please write your 8 digit DPID)													(Please write your 8 digit Client ID)		

Sole / First Holder's Name _____

Second Holder's Name _____

Third Holder's Name _____

Mobile Number on which
messages are to be sent

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

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

The mobile number is registered in the name of: _____

Email ID: _____

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

Signatures



Sole / First Holder

Second holder

Third Holder

Place: _____

Date: _____

NOMINATION FORM FOR DEMAT ACCOUNT

(To be filled in by individual applying singly or jointly)

 YES SECURITIES

Date DD MM YY

DP ID

Client-ID

UCC

I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account / folio in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) *

NOMINATION DETAILS

Nominee Sr. No.	Nominee Name	Share of nominee (%)**	Relationship	Mandatory Details			Additional Details ***	
				Postal Address	Mobile No & Email	Identity Number ***	D.o.B. of nominee	Guardian Name & ID Number
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								

NOMINATION FORM FOR DEMAT ACCOUNT

(To be filled in by individual applying singly or jointly)

 YES SECURITIES

** if% is not specified, then the assets shall be distributed equally amongst all the nominees. *** to be furnished only in following conditions / circumstances:

*** Provide only number: PAN or Driving Licence or Aadhaar (last 4).

- Date of Birth (DoB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

Event	Transmission of Account/ Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion. The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously- having nominee	Nominee
Demise of all joint holders simultaneously - not having nominee	Legal heir(s) of the youngest holder

1. I/ We want the details of my/ our nominee to be printed in the statement of holding, provided to me/us by the AMC/ DP as follows;

Name of nominee(s) Nomination: Yes/ No

2. I hereby authorize _____ (nominee number __) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular **SEBI/HO/OIAE/OIAE_IAD-3/P/ON/2025/01650 dated January 10, 2025**. He/ She is authorized to encash my assets up to __ % of assets in the account / folio or Rs. _____

3. This nomination shall supersede any prior nomination made by me/ us, if any.

	Name(s) of Holder(s)	Signature(s) of Holder	Witness signature
Sole/ First Holder (Mr./ Ms.)			
Second Holder (Mr./ Ms.)			
Third Holder (Mr./ Ms.)			

Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

- If you are opening a new demat account/ MF folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of SEBI circular - **SEBI/HO/OIAE/OIAE_IAD-3/P/ON/2025/01650 dated January 10, 2025**.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgment from the AMC / DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account/ folio.
- In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account / folio, if case of your physical incapacitation. This mandate can be changed any time you choose.
- The signatories for this nomination form in joint folios / account, shall be the same as that of your joint MF folio/ demat account. i.e.
 - o 'Either or Survivor' Folios/ Accounts - any one of the holder can sign
 - o 'Jointly' Folios/ Accounts - both holders have to sign

- AMCs / DPs shall transmit the folio/ account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC/ DP.
- In case of multiple nominees the assets shall be distributed pro-rata to the surviving nominees, as illustrated below:

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total% share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%		40%	60%	100%

Declaration Form for opting out of nomination
[To be submitted in case customer does not want Nomination in the Demat and Trading Account]

Date

To,
YES Securities (India) Ltd.
AFL House, 4th Floor,
Lok Bharti Complex,
Marol Maroshi Road,
Andheri (E), Mumbai – 400 059.

DP ID	12094600
Client ID (only for Demat account)	
UCC ID	
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 MF Folio/ 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 MF Folio/ demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account.

	Name(s) of Account Holder(s)	Signature of Holder/ Thumb impression of Holder
Sole/First Holder (Mr./Ms./Mrs.)		 14
Second Holder (Mr./Ms./Mrs.)		
Third Holder (Mr./Ms./Mrs.)		
Guardian (in case sole holder is minor) (Mr./Ms./Mrs.)		

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

Details of Witness required if the account holder affixes thumb impression			
	Name of the Witness	Address	Signature of Witness
1			

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 are aware that I/we may be held liable for it.
- I/We confirm having received a copy of the following documents and further confirm having read and understood the contents of these documents:-
 - Rights and Obligations of Stock Brokers, Clients as prescribed by SEBI and Stock Exchanges
 - Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories
 - Risk disclosure Document for Capital and Derivatives Segment
 - Guidance Note-Do's and Don'ts for Trading on the Exchange (s) for Investors
 - Policies and Procedures applicable to clients.
 I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker, tariff sheet, voluntary & non voluntary documents. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any. I/We further understand that any change in the said documents including the "Policies and Procedures" shall be made available on the website of YES Securities (India) Limited. I/We shall keep myself updated of the same.
- I/We have read and understood the rules and regulations of the Depository and Depository Participants and I/We agree to abide and bind by the rules which are in force in force from time to time pertaining to my/our account. Further in respect of Government Securities (GSec), I/We will submit only those inter depositary transfer instructions which are bonafide and arising out of genuine trade or transfer transaction.
- In case non-resident account, I/We also declare that I/We have complied and will continue to comply with FEMA regulation. I have informed the Bank that I will be trading through YES Securities (India) Limited and to honor all relevant requests. In case Bank is not been mapped or Tagged to YES Securities (India) Limited as my registered broker, YES Securities (India) Limited will not be responsible for any defaults thereof.
- I/We hereby consent to receive information from central KYC Registry through SMS/Email on the registered number/email address.
- I/We the undersigned, have taken cognizance of circulars issued by SEBI/Commodity Exchanges from time to time on the guidelines for calculation of net open positions permitted in any commodity and/we hereby undertake to comply with the same.
I/We hereby declare and undertake that I/We will not exceed the position limits prescribed from time to time by Commodity Exchanges or SEBI and such position limits will be calculated in accordance with the circulars on position limits as modified from time to time. I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms/companies/ HUFs/Trusts in which I or any of above such person is a partner/director/karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative on Exchanges through or through any other member(s) or Exchanges, to enable you to restrict our position limit as prescribed by the above referred circular of Exchanges as modified from time to time.
I/We confirm that you have agreed to enter order in commodity forward contracts / commodity derivatives for me / us as your clients on Commodity Exchanges only on the basis of our above assurances and undertaking. I/We further undertake to bear any liable/penalty /charges levied by Commodity Exchanges / SEBI.
- GST details furnished are true and genuine along with proof of GST no. If no GST details furnished then, it shall be deemed that you are unregistered under GST. In case there is any change in correspondence address, we will charge GST based on the address available on record, unless intimated to us. We would not be responsible for any nonreceipt/short-receipt of GST credit due to incorrect/inaccurate/ incomplete information provided and any loss, damage, cost and/or expenses suffered/incurred by us due to non-reversal of GST credit, act, omission, false statement suppression of fact and/or any breach would be borne by you.

Place _____

Date:

	Name(s) of Account Holder(s)	Signature of Holder/ Thumb impression of Holder
Sole/First Holder (Mr./Ms./Mrs.)		 15
Second Holder (Mr./Ms./Mrs.)		
Third Holder (Mr./Ms./Mrs.)		
Guardian (in case sole holder is minor) (Mr./Ms./Mrs.)		

Details of Witness required if the account holder affixes thumb impression

	Name of the Witness	Address	Signature of Witness
1			

Schedule of Charges – DEMAT ACCOUNT

w.e.f. February 1, 2022

Charge	Type	Resident Individual/HUF	Basic Services Demat Account (BSDA)	
A/C opening Charges			Value of Holdings in the Demat Account (Debt as well as other than debt securities combined)	Maximum Annual Maintenance Charges
Annual Maintenance Charges(AMC)		₹ 25 (Monthly)	Up to INR 4 lakh	Nil
			More than INR 4 lakhs but up to INR 10 lakhs	INR 100
			More than INR 10 lakh	Not a BSDA. Regular AMC may be levied.
Credit Transaction (Buy : Market & Off Market)				
Debit Transaction (Market, Off Market, Inter- depository)	% of transaction value of each ISIN	0.04% (Min ₹ 20)	0.04% (Min ₹20)	
Dematerialization	Per Request Form	₹ 30	₹ 30	
	Per Certificate	₹ 2	₹ 2	
Rematerialisation	Per request form	₹ 20	₹ 20	
Closure of Account				
Pledge	Creation/Closure/Confirmation/Invocation % of transaction value of each ISIN	0.04% (Min ₹ 30; Max ₹ 50,000)	0.04% (Min ₹ 30; Max ₹ 50,000)	
NDU		0.02% (Min ₹ 30/-; Max ₹ 50,000)	0.02% (Min ₹ 30/-; Max ₹ 50,000)	
Margin Pledge Initiation / Release / Invocation		Rs. 10	Rs. 10	

Terms and Conditions

(1.) All the above charges are exclusive of CDSL Charges and will be charged at actuals. (2.) CDSL charges are available on YES Securities website. Kindly visit <https://www.yesinvest.in>. (3.) The value of shares and charges are calculated as per CDSL formula and rates. (4.) The depository services are liable to discontinuation if YES Securities (India) Ltd. is unable to recover charges from the customer, for any reason whatsoever. (5.) Any service that is not indicated above will be charged separately as per the rates applicable from time to time. (6.) YES Securities (India) Ltd. reserves the right to revise the tariff structure from time to time, with a notice of 30 days. The notice may be given by ordinary post or by an advertisement in a national daily. (7.) Annual Maintenance Charges are levied, in advance, for a period of one month or one year at the beginning of the billing cycle. If the Demat Account is closed during the year, pro-rata refund of Annual Service Charge will be made. (8.) Government levies /Taxes chargeable extra as per applicable rates. (9.) Transaction charges will be payable monthly. (10.) To evaluate the eligibility of Basic Services Demat Accounts (BSDA) the value of holding will be determined on a daily basis, as per the file sent by the CDSL. The AMC will be calculated at pro rata basis based on the value of holding of securities in the demat account. (11.) In case the demat account with BSDA facility does not meet the listed eligibility criteria as per guidelines issued by SEBI or any such authority at any point of time, such BSDA accounts will be converted to standard demat account without further reference to respective customers and will be levied standard charges. (12.) Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit instructions. (13.) Operating instructions of the joint accounts must be signed by all the holders. (14.) All instructions for transfer must be received at the designated DP servicing branches of the YES Securities (India) Ltd. at least 24 hours before the execution.

I/We acknowledge the receipt of copy of the document, "Right and Obligations of the Beneficial Owner and Depository Participant" and copy of Demat Schedule of Charges.

Date:

Place:



Signature of Client

Brokerage Chart

Particulars	Charges
Account Opening Fee	Nil
Type	Brokerage
Delivery	0.70%
Intraday (both side)	NA
Futures	NA
Options	NA
Currency Futures	NA
Currency Options	NA
Commodity Futures	NA
Commodity Options	NA

Other Charges
1. Account opening fees as applicable
2. SEBI turnover fees as applicable
3. Exchange Transaction charges as applicable
4. Securities Transaction Tax (STT) / Commodity Transaction Tax (CTT) as applicable
5. GST as applicable
6. Stamp duty: Statewise stamp duty as applicable will be levied.
7. Education cess and higher Education cess as applicable.
8. In addition to the above YSL shall debit the demat charges applicable to the trading member to the client.
9. In case there are any bank charges or any other charges levied by the exchange or any other authority on account of any violation done by the client, the same shall be duly charged.
10. In addition, Bounce charges of Rs. 50/- is levied in case where e-mail containing Electronic Contract Note or Margin Statement or any other statement is undelivered.
11. Charges applicable for any other services availed if any.
12. With reference to the regulatory guidelines, please note that all your Expiry Exercise Assignment of Option Derivative contracts will attract Derivatives segment brokerage in line with your existing Brokerage Structure.
13. Pledge/ Re-pledge/ Unpledge/ Invocation charges levied on YES Securities shall be recovered from the client.



Signature of Client

Date :

D	D	M	M	Y	Y	Y	Y
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Non Solicitation Declaration

To,
 YES Securities (India) Limited

Dear Sir/Madam,

Sub: Request for providing information on product(s)/service(s)/facility of YES Securities (India) Limited

I, _____ hereby represent, warrant and confirm that I have independently and of my own volition decided to open the trading account with YES Securities (India) Limited ("YSL"), I have of my own accord, personally requested YSL and solely for my benefit, to act in connection with my application form.

I further acknowledge and confirm that no solicitation or offer has been made by YES Securities (India) Limited or any other branches/holding or subsidiaries of YES Securities (India) Limited in relation to opening of the above trading account or for providing any other product or service offered by YES Securities (India) Limited.

I hereby agree to fully indemnify YES Securities (India) Limited against any and all losses, damages, costs, expenses, liabilities, actions and proceedings whatsoever arising from or in connection with the said application for agreeing to accede to my request for assistance herein and/or carrying out such actions as requested by me.

I hereby acknowledge, agree and confirm that YES Securities (India) Limited is agreeing to render such assistance as may be requested by me (which it shall be entitled to refuse) shall not be taken in any way to be a recommendation or endorsement of my choice of such product/facility/service.

Availability of this online trading and investment service to NRIs is subject to compliance with procedural formalities as prescribed by SEBI/Exchange(s)/YES Securities (India) Limited from time to time.

I/we confirm that I/we have complied with and will continue to comply with the Foreign Exchange Management Act, 1999 of India, the regulations made there under and other rules and regulations as applicable from time to time.

	Sole/first holder	Second Holder	Third holder
Signature  18			

Date :

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Place:

Dear Investor!!

Subject: Prevention of Money Laundering Act

Money laundering is a process of making dirty money clean. Money is moved around the financial system again and again in such manner that its origin gets hidden. It involves complex chain of activities whereby huge amount of money generated from illegitimate activities viz. selling of narcotic drugs, extortion, corruption, illicit dealing in weapons, human trafficking, etc. is put through a series of process so that it comes out at the other end as clean and legal money.

Terrorist organizations encourage money laundering to support their illegal acts. It is important to note that due to increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge the duties cast on us under the applicable laws or we are becoming an instrumental or a part of the chain, even if unknowingly or ignorantly, may invite the trouble.

In order to fight against the money laundering and terrorist financing the Prevention of Money Laundering Act (PMLA) was brought into force w.e.f. July 1, 2005, in India. Guidelines were also issued in the context of the recommendations made by the Financial Action Task Force on anti-money laundering standards. Compliance with these standards has become imperative for international financial relations.

PMLA is applicable to every intermediary registered with Securities & Exchange Board of India (SEBI), which includes a stockbroker, depository participant, portfolio manager, sub-broker and any other intermediary associated with securities market.

As per the provisions of PMLA, the intermediaries are required to comply with Know Your Client (KYC) norms, conduct ongoing client due diligence to ensure that the activity being conducted in any account is consistent with the intermediary's knowledge of the client, its business and risk profile.

In light of the above, you are requested to provide the information or documents evidencing source of funds, income tax returns, bank records, demat holding, etc. at the time of registration as a client with us or subsequently whenever asked for during the course of your dealings with us.

Date : _____

Place: _____



19 Name and Signature of the Client

To,

YES Securities (India) Limited, Mumbai

Dear Sir / Madam,

(I) Authorisation to maintain account on running account basis Yes No

I/We confirm that I/We am/are desirous of regularly dealing with all the exchanges (as applicable) of which Yes Securities (India) Ltd. is a member of under its SEBI Regn. No. - INZ000185632 and request you to maintain a running account for funds on my/our behalf without settling the account on settlement of each transaction on my/our behalf.

I/We hereby give you the following operational instructions in respect of my/our captioned account maintained with you.

I/ We request you to settle my account on a **Quarterly Basis** **Monthly Basis**

To maintain my captioned account, with you on a running account basis, i.e. instead of paying to me/us any amounts representing payouts, settlement dues, marked to market profits on the settlement date, to retain, withhold, set-off and / or appropriate for such purposes and in such manner as you may deem fit, including towards settling outstanding obligations on a settlement date. This will facilitate me in my/our transactions with you.

You may at your discretion and with or without notice to me/us, set-off any:

Money due to me arising from trades executed (including transactions in Commodity Derivatives) on a segment of an exchange with the shortfall or additional requirements of margin or securities* or money arising from other trades executed (including transactions in Commodity Derivatives) whether on the same or any other segment of the same exchange / or other exchange. At the time of settlement of accounts once in a month/quarter as opted by me herein above, I/We authorize you to retain at the time of settlement, entire pay-in obligation of funds outstanding at the end of day on date of settlement, across all segments and exchanges. Apart from margin liability as on the date of settlement, in all segments and exchanges, additional margins (maximum up-to 125% of margin requirement on the day of settlement), i.e. 225% of the total Margin requirement after excluding the margin on consolidated crystallized obligation, where applicable. Howsoever such amount of additional margin apart from margin liability as on date of settlement, will not be more than the limits prescribed by SEBI or respective exchanges from time to time. Further, you will furnish to me/us by email a statement of accounts containing extract from the client ledger for funds and an extract from the register of securities* displaying all receipts/deliveries of funds.

I/ We understand and agree that you will transfer/release the funds lying to my/our credit within 1 (one) working day of a written request, subject to no outstanding dues on my/our part in relation to any of my/our obligations under the broking relationship. With respect to requirements of the Exchanges to maintain accounts for each exchange/ segment separately I/ we authorise you to allocate the payments received / made to any of the exchanges / segments. I/We further authorise you to pass such entries to adjust my/our debit/ credit balance in my/our trading account of any exchange / segment to any other and vice versa backed by actual fund transfers, if separate bank account is maintained Exchange / Segment wise.

I/We understand and agree that no interest will be payable to me/us on the deposits or amounts lying to my/our credit with you.

I/We also understand that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of such funds under this running account Authorizations. This authorization may be revoked by me/ us at any time by giving you written intimation.

(II) Authorization to obtain transaction details Yes No

I/We agree, confirm and provide our consent and irrevocably authorize you to disclose, Obtain, share and/or transfer, all or any information pertaining to me/us and/or my/our accounts and facilities availed by me/us, with any of your affiliates, group companies, branches, subsidiaries, holding companies; any statutory, judicial, quasi judicial authority and/or local body; any exchange, market, or other authority or regulatory body having jurisdiction or any person (including any agent, contractor or third party service provider) with whom you may contract or proposes to contract with regard to the provision of services/facilities in respect of my/our account(s) or facilities (as the case may be), or in connection with the operation of your business; any person employed with, or engaged as an agent by you or your affiliates, group companies, branches, subsidiaries, holding companies, for the purposes of or in connection with interactions with us or for providing services/facilities to us or processing transactions pertaining to our accounts or facilities and/or to enable you to centralize or outsource your data processing and other administrative operations to your affiliates, group companies, branches, subsidiaries, holding companies or to third parties engaged by you for any such services/operations of our accounts.

(III) Consent to receive Transactional, Service, Commercial calls and / or SMS Yes No

I, in my capacity of a subscriber to the services and products offered by you, hereby instruct you to provide to me the following communications through the medium of short messages service and / or telephone calls on my phone number(s) registered with you: Research and investment ideas whether developed by your in-house research team and / or outsourced agencies, Market related alerts, Offers for subscription to new products / services from time to time, Account and trading related information and other notifications pursuant to the services provided, Information relating to investment products and services, Any other service to aid in wealth creation process.

I state that although I have registered myself with the National Do Not Call Registry set up pursuant to the Telecom Unsolicited Commercial Communications Regulations, 2007 / the National Customer Preference Register established under the Telecom Commercial Communications Customer Preference Regulations, 2010, I hereby instruct you to send to me, and consent to receive, communications through short messaging services and / or telephone calls for the services listed out in the preceding paragraph.

I undertake that I shall not raise any complaint or dispute before the Telecom Regulatory Authority of India or / any telecom service providers / access providers or other authorities or service providers in relation to any communications received pursuant to this letter nor shall I hold you liable for making such communications. I further undertake to indemnify you against any loss that may be caused to you by virtue of my registration under the National Do Not Call Registry/ National Customer Preference Register.

I hereby confirm that I have opted to receive the communications listed in the preceding paragraph.



Signature of Client



(IV) Receiving electronic contract notes and statements through email Yes No

I / We understand that I / we have the option to receive the contract notes, bills, statement of funds, securities, commodities and other relevant documents in either physical or electronic form. In pursuance to same I / we hereby opt for receipt of contract notes and other relevant documents in electronic form. We hereby authorize YSL to send us all important communication, including without limitation, contract notes, notices, circulars, account statements, confirmations and other such communication through email. The said emails are to be sent to the email address as mentioned in the KYC form.

The process of receiving contract notes and other communications through email will be considered as due discharge of obligation by you as per the rule, regulations and bye laws of SEBI and stock exchanges. I / We hereby confirm that the said email address has been created by me / us and I / We take the responsibility of regularly accessing and taking cognizance of all the important notification and communication sent to the said email address.

I / We hereby undertake that any change in the email address will be communicated to YSL through a written request (the letter to bear the acknowledgment stamp of YSL) or by logging into my trading account using Login ID and Password.

I / We hereby confirm that non-receipt of bounced mail intimation by YSL shall mean that such communication has been delivered to me / us. We agree not to hold YSL responsible for late / non-receipt of contract notes, bills, margin calls, ledger, and other documents sent in electronic form and any other communications for any reason beyond YSL's control including but not limited to failure of email servers, loss of connectivity, email in transit etc. We agree that the Log reports of your dispatching software shall be evidence of proof of dispatch / delivery of contract notes and all relevant documents.

(V) Receipt of instructions in electronic/telephone mode: Yes No

I / We hereby acknowledge that we may send communications through, without limitation, email / fax / telephone / other electronic modes (hereinafter referred to as other alternate modes of communication). I / We understand that Internet / telephone / fax are not encrypted and are not a secure means of transmission. I / We acknowledge and accept that such an unsecured transmission method involves the risks of possible unauthorized alteration of data and / or unauthorized usage thereof for whatever purposes. I / We agree to exempt you from any and all responsibility of such misuse and receipt of information, and hold you harmless for any costs or losses, I / We may incur due to any errors, delays or problems in transmission or otherwise caused by using the internet / telephone / fax / as a means of transmission. Further, I / we hereby undertake to indemnify you for all losses, damages, costs, expenses (including reasonable legal expenses), incurred or suffered by you and against, any actions, suits, claims or proceedings that are or may be initiated against you by your agreeing to accept any reports, information or communication or arising from your acting or relying on such reports, information or communication received from me / us by such alternative modes of communication.

**(VI) Mutual Fund Service System (MFSS) | BSE Star Mutual Fund
(collectively referred to as Mutual Fund Transaction Facilities) Yes No**

I / We, am / are in the process of registering as your client and in the process of executing the required documents for the purpose of trading in the Capital Market / F&O / Currency Derivatives / Commodity Derivatives on all the exchanges (as applicable) of which Yes Securities (India) Ltd. is a member of under its SEBI Regn. No. INZ000185632 (hereinafter jointly referred to as "Exchanges").

I / We, am / are interested in availing the Mutual Fund Transaction Facilities of the Exchanges for the purpose of transacting / dealing in the units of mutual funds schemes permitted to be dealt with on the MFSS and BSE STAR MF of NSE and BSE respectively

For the purpose of availing these facilities, I / we state that Know Your Client details as submitted by me / us for the stock broking may be considered for the purpose of Mutual Fund transaction facilities and I / we further confirm that the details contained therein are same and remain unchanged as on date.

I / We, am / are willing to abide by the terms and conditions as mentioned in the NSE circular dated November 24, 2009, BSE Circular dated December 02, 2009 and further terms and conditions as may be specified by the Exchanges from time to time in this regard. I / We shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India (SEBI) and Association of Mutual Funds of India (AMFI).

I / We shall read and understand the contents of the scheme information document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I / we choose to subscribe / redeem. I / We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I / We therefore request you to register me / us as your client for participating in the Mutual fund transaction facilities (MFSS and BSE STAR MF). I / we hereby confirm the above authorisations provided to YES Securities (India) Limited

(VII) Consent to receive Transactional, Service, Commercial communication over Whatsapp Yes No

I / We agree to receive various products / service / sales / informational / transactional and communications of similar nature from time to time through WhatsApp Business account of YES SECURITIES or any other similar communication mode as applicable from time to time.

Client's Acknowledgement and Declaration

1. I / We shall not effect any third-party transactions.
2. I / We am / are not a Trading Member / Authorized Person affiliated to the main broker of any of the Exchange.
3. I / We shall do all the trades as my / our own trades as your client and I / We will not do trades through you acting on behalf of my / our clients / as Authorized Person or in any other manner.
4. I / We am / are not an employee of another Trading Member of any Exchange. In the event of change in my position, I shall be responsible to obtain the No Objection Certificate from my employer and provide the same to the Stock Broker.
5. I / We am / are not expelled / suspended member / broker of any recognized Stock Exchange.

Client Code: _____



Signature of Client



*The meaning of the word 'securities' mentioned in the aforesaid running account authorization shall be limited to Invoked securities under Pledge/Repledge mechanism and securities lying in EPI/CUSA/POOL of the clients.

YES Securities (India) Limited., (hereinafter referred to as YSL) as a SEBI registered intermediary is mandated to follow the rules regulations circulars of the exchanges and SEBI issued from time and operates through well-defined procedures and policies. The policies followed by a stock broker pertaining to dealing with clients in regards to points specified herein have been mandated by SEBI to be made available to the clients. It should not be construed that these are the only policies followed by YSL.

(A) Refusal of orders for Penny Stocks:

YSL normally offers trading facility in most of the compulsory dematerialized stocks & commodities which are listed on the stock exchanges. The stocks offered by YSL are duly updated on www.yesinvest.in (hereinafter referred to as website). Please note that some of the stocks & commodities such as penny scrips (stocks & commodities), scrips not traded in compulsorily dematerialized mode or scrips which do not meet internal risk and surveillance criteria are not allowed by YSL for trading. Any existing scrip (stocks & commodities) enabled for trading may be deactivated by YSL as and when such scrips (stocks & commodities) meet the criteria as defined by YSL even if the Client had bought such scrips (stocks & commodities) through YSL thereby restricting the Client's ability to sell such scrips (stocks & commodities). YSL cannot be held responsible for any losses, if any, arising due to deactivation of any of such scrips (stocks & commodities).

Further clarifications: The exchange (NSE, BSE, MCX & NCDEX) releases a list of such scrips (stocks & commodities) and they are termed as illiquid securities & commodities, however YSL retains the right to term a particular scrip (stocks & commodities) as illiquid/penny stock based on the internal risk parameters it deems fit. These parameters may include, the past volume of the scrip (stocks & commodities), the volatility in the scrip (stocks & commodities) among others, whether trading in a particular scrip (stocks & commodities) falls within the purview of fraudulent trades or trades deemed to be fraudulent under the SEBI – prohibition of fraudulent and unfair trade practices relating to securities market regulation 2003. YSL reserves the right to facilitate clients for placing orders with regards to the penny stocks or illiquid scrips (stocks & commodities) as described above. YSL is not under any obligation to push orders which are in the nature of penny stocks/ illiquid scrips (stocks & commodities). YSL does not encourage trading in penny stocks.

(B) Setting Up Client's exposure Limits:

Setting Up Client's exposure Limits and margin information including short fall of margins available on website in the trading account or intimated through approved means to be constituted as a valid margin call. Exposure is allowed to the clients based on the margin available in form of funds or approved securities or commodities valued after deducting an appropriate haircut as per the rates prescribed by Exchange/YSL. Client is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the Exchange. Further YSL at its discretion may collect additional margin or may even reduce the margin even though not required by the Exchange. Clients are supposed to maintain sufficient balance with YSL pre-trade depending on the channel through which they trade. YSL may levy additional margins or relax the margins earlier imposed based on factors such as, client level positions, volatility in a particular stock or commodity the market in general. Further, the client will have access to details pertaining to margin requirements, shortfall of margin on a real-time basis on the website itself where he can ascertain details of his existing margin blocked, margins required, MTM loss adjustment, margin percentage etc. The margin requirement specified on the website in the trading account of the online client will be construed as a valid demand for the additional margin required by YSL. Disseminating this information in the client account on the website will be considered as informing specific (one to one) clients about the margin requirements/margin top up calls/margin availability before the square off. Clients are bound to monitor and review their open positions and margin requirements all the times and furnish the additional margin to YSL. Though it shall be our endeavour to ensure that a proper notice may be sent to the clients, this may not always be possible taking into consideration the market scenario on a real time basis. Exposure allowed to clients may vary, basis the clients past trading performance, quality of collateral, market circumstances and dynamics and other such factors. Clients may trade themselves through the internet or may trade through the Authorised Person or branch. For clients who trade through the internet, the exposure limit may be ascertained by them on the trading portal. Clients executing trades through Authorised Person or branches may check their positions with the Authorised Person/Branch. YSL shall not be responsible for any variation, reduction or imposition or the Client's inability to route any order through the Stock broker's website on account of any such variation, reduction or imposition of limits. YSL 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 & commodities based on certain internal risk parameters. By use of Power of Attorney given by client, YSL shall execute 'margin pledge' on Client's securities on behalf of such client to the demat account of YSL to the extent of required margin, as per the regulations of SEBI and Exchanges issued from time to time.

(C) Applicable Brokerage:

The brokerage applicable shall be as agreed upon from time to time. Any modifications in relation to the brokerage rate will be prior informed to the client with reasonable time for client to act on the same. The client agrees to pay YSL, brokerage, Exchange related charges, statutory levies and any other charges (including but not limited to security or commodity handling charges on settlement) as are prevailing from time to time and as they apply to the client's account, transactions and to the services that member renders to the client as mutually agreed. YSL does not charge brokerage more than the maximum brokerage permissible as per the rules and regulations and bye laws of the Exchanges/SEBI. However, the minimum brokerage as stipulated by the Exchanges will be levied. The brokerage shall be charged as a percentage of the value of the trade or as a flat fee or otherwise, together with the statutory levies as may be applicable from time to time on the same. Schedule of brokerage along with other applicable charges is specified as Brokerage Chart on page 7.

(D) Imposition of Penalty / Delayed payment charges, specifying the rate and period:

Delayed payment charges are levied to clients for nonpayment or delay in payment of their fund obligation on time which may be due on account of charges, margins or any other sum due to YSL. Clients are required to pay margins before placing any trades. Clients are allowed to place margins in form of funds or securities, as per the discretion of YSL.

Exposure is given to the client based on the stocks or commodities submitted by the client towards margin to YSL. Appropriate haircut is applied on such stocks or commodities. They are then expected to make the full payment for the purchase or positions taken in derivatives on the settlement date. In case there is a debit balance in the clients account, the same shall be liable for the delayed payment charges. The calculation of these charges is an automated process. The charges to be levied would be up to 3 % per month or such other rates as may be communicated to the client from time to time. These charges have been introduced so that they act as a deterrent for delaying the payment of funds and it should not be construed as funding arrangement.

In case where any penalty / charges /fees / taxes etc. of whatever nature, is levied on YSL on account of trades or orders placed by clients, such penalty /charges /fees / taxes etc. shall be debited to the client's account. The client will not be entitled to any interest on the credit balance/excess margin available/kept with YSL.

(E) Right to sell or square-off client's securities/commodities or close client's positions, without giving notice to the client on account of nonpayment of client's dues to the extent of settlement/ margin obligation:

Margin collection - Margin is collected upfront from the clients i.e. prior to executing any trades. Based on the margin thus available with YSL - exposure is given to the client. The applicable margin may vary and the client may be asked to replenish the margin by tendering additional funds or securities.

In accordance with Exchange guidelines, YSL being primarily a web based broker retains the right to square off the position. Disseminating of the details regarding margin requirements and short fall in margin through an approved mode shall be considered as making a specific margin call to the client. Hence all clients are bound to log in to their trading account and keep themselves updated about their positions and margin requirements made available on real time basis.

The client agrees to pay for the shares purchased or positions taken in commodity derivatives through YSL before the pay-in date in order to enable YSL to make the requisite pay-in to the Exchange. In case the client fails to make the payment, YSL may liquidate the securities or commodities in the clients account in order to ensure that adequate credit is received for the shares purchased or positions taken in commodity derivatives. This square off may be done on or before the 5th day of the settlement date.

- The client also agrees to maintain adequate margin for the positions taken in any segment. However, in case the credit available is lower than the minimum margin required, the client's positions would be liquidated in a manner that there is no shortfall of margin.
- YSL shall endeavor to provide additional facility besides making available the margin details on website in the trading account to facilitate the clients towards ensuring adequate margin to avoid liquidation of open position. This information should be constituted as prior information given to the client before liquidation of their positions. YSL may endeavour to inform the client on the registered mobile number and or email id updated with YSL. For clients to whom a login and password is given to access their account on the website www.yesinvest.in, or such other URL that may be provided and informed by YSL from time to time, where they are required to login and check the limit statement uploaded therein. It shall be the clients' responsibility to ensure that adequate credit balance is available in the account. The above guidelines may be changed based on the discretion of YSL and in terms of the market conditions. In cases where the market is volatile and there is a sudden spurt in scrip price then YSL may square off position without any notice due to the paucity of time and other such circumstances
- Whenever YSL endeavors that the positions are to be liquidated, it shall not be responsible for any liabilities in case the same cannot be liquidated.
- The priority of the positions to be squared off, i.e. which positions to be squared off first, would be at the discretion of YSL. YSL may follow the following priority for squaring-off positions: -
 - a. Lower Margin scrip's (securities or commodities) will be squared off first.
 - b. Only futures position will be squared off (option position may be square off manually)
 - c. In case where there is a position in cash and derivative segment, options positions would be squared off first followed by futures positions and then cash positions would be square off in case shortfall still exist.
- In case of default by a client of YSL who has pledged securities with YSL, YSL shall invoke the pledge.
- In case of default by a client of YSL where the client's securities are re-pledged with the CM/ CC, the invocation request shall be made by the TM to CM and CM in turn will make request to CC as per the procedure laid down by the Depositories under their bye-laws.
- YSL reserves the right to liquidate the position as per its RMS policy as amended from time to time.

(F) Shortages in obligations arising out of internal netting of trades Internal Shortage Policy

In case of Internal shortage (Client to Client Shortage), the valuation price shall be higher of 2 % above the closing price on Auction date in the normal market segment of the Exchange or highest traded price between the trading day (transaction date) and the day of Auction. All the securities having a corporate action will be settled on cum basis.

All losses to the Client, on account of the above shall be borne solely by the Client and YSL shall not be responsible for the same. In case of any claim against YSL, the Client shall indemnify YSL in this regard.

(G) Conditions under which a client may not be allowed to take a further position or the broker may close an existing position of a client /Temporary suspending or close a client's account at the client's request and Deregistering a client

- a) In the event where overall position in any scrip (securities or commodities) or derivative contract has reached the limit prescribed by regulators or exchanges. For example, in case of NRI clients where the PIS Limits are prescribed by RBI are breached or in case of Exchange wise, scrip wise limit prescribed by Exchanges for derivative contracts are breached. In all such cases the client may not be permitted to take additional positions
- b) YSL has the right to stop or block the client to trade in case where there is a debit balance in his/her account.
- c) YSL retains the right to block the client from taking a position in certain specified scrips (securities & commodities) on the basis of the risk management systems of YSL.
- d) In case where YSL is apprehensive of the client to be an entity debarred by any regulatory authority, it shall retain the right to stop the trading activities of such a client.
- e) In case where YSL perceives risk with regards to any regulatory action or with regards to delay or non-payment of margin or any other lawful obligation YSL may temporarily block or suspend the trades of such clients.
- f) In case where suspicious transactions are observed, including but not limited to off market transactions.
- g) In case where clients are not reachable at their contact details mentioned in the client registration form or in the client master changes form.
- h) In case where unprofessional, or unruly behavior of the client is observed.
- i) Further in case of clients breaching the risk parameters mentioned in point E above we may close the clients' positions without any intimation.
- j) YSL has the sole discretion to dis-continue the relationship. The terms and conditions as specified in the AOF are applicable.
- k) Receipt of a binding order from the regulator/authority.
- l) Any of the covenant or warranty of the client is incorrect or untrue in any material aspects.

In the event of death or insolvency of the client, winding up or liquidation or the client otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, the Stock Broker may close out the transaction of the client and the client or his legal representative as the case shall be would be liable for any losses, costs and be entitled to any surplus which may result there from.

(H) Inactive Trading Account Policy

As per the requirements of the **NSE Circular No. NSE/INSP/43488 dated Feb 10, 2020**, and **NSE/INSP/46506 dated December 01, 2020**, and **BSE Notice no. 20200210-47 dated Feb 10, 2020**, trading accounts of clients who have been inactive should be marked as inactive trading accounts in Exchange UCC database.

As per subsequent **NSE Circular No. NSE/INSP/49743 dated Sept 27, 2021**, and **NSE/INSP/64718 dated Oct 25, 2024**, and **BSE Notice No. 20210928-53 dated Sep 28, 2021**, *members are required to undertake fresh documentation, due diligence and IPV as per circular issued by regulators time to time.*

The clients trading account will be considered as dormant / inactive. In case of trading account, the term inactive account refers to such account wherein any of below mentioned activities has not been carried out by client since last 24 (Twenty-Four) months:

1. Trading or participation in OFS / buy-back / Open Offer across any of the exchanges / segments* of the exchanges through YES Securities (India) Ltd. (YSIL)
or
2. Cash / Equity Derivative / Currency Derivative / Commodities Derivative / EGR / Debt / Online Bond Platform / Execution Only Platform / Any other segment as may be allowed by SEBI / stock exchanges from time to time.
or
3. Transaction in nature of applying / subscribing IPOs (where the IPO bid is successful & not cancelled) / SGBs / Mutual Funds (lumpsum investment or investments through successful SIP instalment payments) on the Mutual Fund platform of the stock exchanges through YSIL
or
4. Modification / updation of e-mail Id / Mobile Number / Address in KYC record of client through YSIL and the same has been uploaded to KRA to ensure Validated / Registered status

The inactive accounts identified based on the above criteria shall be flagged as 'Dormant / Inactive' by YSIL in UCC database of all the respective Exchanges.

If client wish to activate trading account, client is required to mandatorily comply with In-Person Verification / Video In-Person Verification (IPV/VIPV) requirement, specified in the regulators (SEBI Master Circular on KYC dated October 12, 2023)

Also required to submit KRA/ CKYC form along with documents such as PAN card, Address proof and Income proof (Required for FNO trading activation), and all documents should be self - attested and verified with IPV and OSV (Original seen and verified) by YSIL employee.

Seek confirmation from the client if there is any change in clients' basic details such as Address, Mobile number, Email ID, Bank/DP account, income, etc. as registered with the YSIL. In case of changes in any of the said details, the YSIL shall seek the updated details along with the necessary documents and update in its records as well in the UCC records of the respective Exchanges. In case of KRA Validated status or Registered status through same intermediary cases, the Trading Member may fetch the details along with the necessary documents from the KRA record and display the said details for confirmation of the client and updation in its record. If there is change, then YSIL shall update the UCC records of Exchanges as well as KRA. If client has confirmed that there is no change, the Member shall maintain the verifiable logs of the same.

YSIL KYC OPS Team shall verify client status as per KRA and if the client status of KRA is not validated (i.e. "On hold"/"Rejected" through other intermediary, etc.) then the YSIL should seek necessary documents as required for KRA Validation. The documents will be uploaded to KRA to ensure validated / registered status. Post KRA Validated status, client's UCC will be reactivated at exchange portal, Back office, trading platform and permitting client to trade on the Exchanges.

Once an inactive trading account is re-activated as per the procedure prescribed as mentioned above, the computation of next 24 months for the purpose of identifying client as inactive in the subsequent period shall be considered from the date of last reactivation of trading account.

YSIL may send the communication/notification to the clients prior to flagging their trading account as inactive however such communication/notification should not ask the clients to trade to prevent their accounts from being flagged as inactive.

(I) Policy to Voluntarily Freeze/Blocking, Unfreeze/ Unblock the online access

This is in line with the SEBI Circular No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024, and Exchange Circular No. NSE/INSP/60277 dated January 16, 2024, "Ease of Doing Investments by Investors - Facility of voluntary freezing/ blocking of Trading Accounts by Clients"

To address suspicious activities in client accounts the Company / YSIL is providing a voluntary freezing/blocking the online access to its client account based on their specific request.

Steps to Freeze Account

The Clients can send a voluntary freezing/blocking of the online access request of their account via –

- a. Sending an email from its registered email ID to stoptrade@ysil.in with the reason thereto
- b. Can call through registered mobile no to our Customer Desk on 022-68850286 on working days between 9:00 am to 5:00 pm

Kindly note:

ONLY Upon successful verification, the request will be taken on record and the client account will be freeze in 15 minutes with a confirmation mail on the client's registered email ID and mobile no. "stating that the online access to the trading account has been frozen/blocked and all the pending orders in the client's trading account, if any, have been cancelled along with the process of re-enablement for getting the online access to the trading account."

Details of all open positions (if any) along with contract specifications will be communicated to the client within one hour of the freezing/blocking of the trading account.

Impact on Freezing Account

1. Fresh Online order placement, Investment Related Trades, SIP, and IPO applications will not be permitted while the account is freeze
2. All open order(s) will be CANCELLED
3. Online Profile updation or any modifications will be disallowed

Kindly Note:

Freezing/blocking is only for online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of the Trading Member.

Steps to Unfreeze Account

Re-enabling the client for online access to the trading account: -

The Client can send a Re-enabling online access request of their trading account via –

- a. Sending an email from its registered email ID to stoptrade@ysil.in to re-enabling their trading account
- b. Can call through registered mobile no to our Customer Desk on 022-68850286 on working days between 9:00 am to 5:00 pm

Kindly Note:

The company / YSIL will re-enable the online access of the client trading account within one day from the date of request received after carrying out necessary due diligence including validating the client request and unfreezing / unblocking the online access of the trading account.

(J) Guidelines on Margin collection & reporting

In case if there is a margin shortfall in the clients account due below reasons, the penalty levied by regulators for such shortfalls will be passed on to the clients.

- i) Cheque issued by client to member is dishonored.
- ii) Increase in margins* on account of change in hedge position by client / expiry of some leg(s) of the hedge positions of the clients
- iii) Other margins such as consolidated crystallized obligation, Delivery margins, Mark-to-market & additional margins etc

We request you to maintain sufficient balance in your trading account. All provided margins will have to be in form of clear funds or clear credit ledger entry against any deposited cheque or SSL approved pledged stocks provided as collateral. Any unrealized funds will not be considered.

*There can be higher margin obligations on the open positions due to the following reason but not limited to:

- a. Square off of 1 leg resulting to break of hedge position.
- b. Expiry of one or more leg(s) of the hedge open position on expiry day



Signature of Client



This document is voluntary. However, the same is required to be executed by the customers in order to avail of seamless trading platform with integrated bank account, demat account and broking account. If you do not wish to use the services of YES Bank Limited and YES Securities (India) Limited, you need not to execute this document.

To,
YES Bank Limited

CC:
YES Securities (India) Limited

Dear Sir/ Madam,
Sub: Request to add a mandate holder.

The person(s) specified in the **Schedule [A]** hereto ("the Bank Account Holder(s)") hold bank account(s), details of which are more particularly mentioned in **Schedule [A]** hereto under title "Bank Account Holder Details" ("the Bank Account(s)", with YES Bank Limited ("the Bank").

The person(s) specified in Schedule [B] hereto ("the Client") is/are desirous of investing and/or trading in securities/commodity, in cash and/ or derivative segment's, making investments and entering into various transactions with YES Securities (India) Limited, a company incorporated under the provisions of the Companies Act, 1956 and existing under the provision of the Companies Act, 2013, being a Securities Exchange Board of India registered Trading Member having SEBI Single Registration No. - INZ000185632), having its registered office at 2nd Floor, North Side, YES BANK House, Off Western Express Highway, Santacruz (East), Mumbai – 400 055 and having an office, inter alia, at Part Gr. & 1st Floor, T. S. No. 60 & 61, Block No. 10, Door No. 24, Ambalathadayar Madam Street, Puducherry (Pondicherry) - 605 001 ("the Stock Broker").

To facilitate proper execution and seamless experience of all the transactions executed by the Client in its trading account with the Stock Broker ("the Trading Account") and for availing various services offered by the Stock Broker and to give effect to all the terms and conditions as specified in the Trading Account opening form/other documents pertaining to the Trading Account, the Bank Account Holder(s) is/are hereby appointing the Stock Broker as his/her/their mandate holder in respect of Bank Account(s).

The Bank Account Holder(s), do hereby, jointly and severally, request the Bank to register the Stock Broker as a mandate holder to operate the Bank Account(s) for and on behalf of the Bank Account Holder(s) and authorise the Stock Broker to operate the Bank Account(s) for the following purposes:

1. To transfer the funds from the Bank Account(s)
 - i) for meeting the settlement obligations/margin requirements in connection with the trades executed by the Client on the exchanges through the Stock Broker;
 - ii) for recovering any outstanding amount due from the Bank Account Holder(s)/the Client arising out of trading activities on the exchanges through the Stock Broker;
 - iii) for meeting obligations arising out of the Bank Account Holder(s)/the Client applying/subscribing to any other services as offered by the Stock Broker; and
 - iv) for application towards monies/fees/charges, etc., due to the Stock Broker/principal payable by virtue of the Bank Account Holder(s)/the Client using/ subscribing to any service's offered by the Stock Broker, availed by the Client.

2. To, inter alia, block and/or hold and/or create lien on all or any of the monies lying in the Bank Account(s) or in such other manner as the Stock Broker may deem fit, without any further instructions and/or to transfer all the said monies to the bank account of the Stock Broker or in accordance with the instructions of the Stock Broker into the bank accounts of the Stock Broker as listed in Annexure A hereto;

The Bank Account Holder(s), do hereby, jointly and severally, agree and undertake that the instructions given by the Stock Broker to the Bank to block the funds in the Bank Account(s) in connection with a transaction done by the Client(s) across the exchanges/products as offered by the Stock Broker and availed by the Client(s) shall be given priority over any other subsequent instructions given or issued by the Bank Account Holder(s).

The funds once blocked as per the instructions of the Stock Broker in connection with a transactions across the exchanges/products offered by the Stock Broker entered or to be entered into by the Client/Bank Account Holder(s) with or through the Stock Broker shall be released at the discretion of the Stock Broker and as per the instructions of the Stock Broker to the Bank.

The Stock Broker shall return to the Bank Account Holder(s) the funds that may have been received by it erroneously or that it was not entitled to receive and vice versa.

The instructions contained herein may be revoked by the Bank Account Holder(s) at any time by giving a notice in writing to the Stock Broker and the Bank. The revocation/ termination of the authorization herein shall in no way affect the validity of the authorizations herein with reference to any transaction(s) initiated by the Client/Bank Account Holder(s) or the Stock Broker pursuance to the authorizations herein, prior to the actual receipt by the Stock Broker and the Bank of intimation of such revocation or termination, as provided hereinabove. In case of multiple Bank Account Holder(s), the revocation of the authorizations herein by one of the Bank Account Holder(s) shall not revoke the authorizations herein with respect to the other Bank Account Holder(s).



(Sole / First Account Holder)

The Bank Account Holder(s) understand that the authorizations herein do not impose a duty on the Stock Broker to exercise any authorizations granted hereunder. The Stock Broker may at its sole and absolute discretion without being liable to the Client/Bank Account Holder(s) in any manner whatsoever may not exercise any authorizations granted hereunder and the Bank Account Holder(s) absolutely, unconditionally and irrevocably agree(s) and undertake(s) that the Stock Broker shall not be liable to the Client/Bank Account Holder(s) for any loss/damage which the Client/Bank Account Holder(s) may suffer due to the Stock Broker exercising/not exercising any authorizations granted to it hereunder.

The Bank Account Holder(s) understand(s) that anything the Stock Broker may do in the exercise of such rights and powers hereunder shall be fully binding upon the Bank Account Holder(s). The Bank Account Holder(s) specifically agree(s) that any matter or issue arising hereunder shall be governed by and construed exclusively in accordance with the Indian laws.

The Bank Account Holder(s) hereby irrevocably and unconditionally agree and undertake that the Bank is hereby authorized to follow the instructions of the Stock Broker with respect to the operation of the Bank Account(s) as per the instructions contained herein without seeking any further authority/ confirmation/direction from the Bank Account Holder(s). All the operations/ transactions into the Bank Account(s) as per the instructions of the Stock Broker shall be as good, valid and effectual to all intents and purposes whatsoever as if the same had been done by the Bank Account Holder(s) in his/ her/their own name and person.

The Bank Account Holder(s) shall, jointly and severally, at all the times keep the Bank and each of its officers, directors, employees, representatives, attorneys and agents ("the Indemnified Party") fully indemnified from and hold each of them harmless for any and all liabilities, obligations, losses, damages, penalties, actions, judgments, suits, costs, expenses of any kind or nature whatsoever which may be imposed upon, incurred by or asserted against the Indemnified Party and hold each Indemnified Party harmless in any way in connection with or arising out of the negotiation, execution and/or performance of these presents. This Indemnity shall survive the revocation of the instructions contained herein and closure of the Bank Account(s).

Schedule A - YES BANK Account details	
PIS BANK A/C DETAILS	NON PIS BANK A/C DETAILS
Account Type:	Account Type:
Account Number:	Account Number:
MICR Code:	MICR Code:
IFSC Code:	IFSC Code:
Branch Address:	Branch Address:

Bank A/c Holder(s)	Name	Signature
1 st Holder		 24
2 nd Holder		 SH-1
3 rd Holder		 TH-1

Schedule B - Client's Details	
Client Code:	
Name of the Client:	
Address:	

Annexure A - List of YES Securities (India) Ltd., Bank and Demat accounts.

Bank Name	YES BANK Limited
Account No	04198740000013, 04198740000032, 04198300000028, 04198300000343, 04198320000070

Bank Name	AXIS BANK LTD
Account No	913020043300663, 913020043310181, 913020043260510

Bank Name	ICICI BANK LTD
Account No	000405121760, 000405121767, 000405123238



(Sole / First Account Holder)

DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)
(THIS DOCUMENT IS VOLUNTARY)

 YES SECURITIES

Schedule I - Client's Details

DP ID: **12094600**

Name of DP: YES Securities (India) Limited

DP Client ID:

Trading Code (UCC):

First Holder Full Name:

Address:

Schedule II - Details of Stock Broker's Demat Accounts Details (YES Securities (India) Limited)

Name of Depository Participant	YES BANK Limited		Name of Depository Participant	YES Securities (India) Limited	
Depository	DP ID	Client ID	Depository	DP ID	Client ID
NSDL	IN303270	10055450 11030078 10957144 10055468 10957136 10957128	CDSL	12094600	00000100 00000041 00000212 00000115 00000149 00000227 00000168
	IN301330	40514507			

Sr. No	Purpose	Client's Signature
1	Transfer of securities held in the beneficial owner account of the client towards Stock Exchanges related deliveries /settlement obligations arising out of trades executed by clients on the Stock Exchange through the same Stock Broker	 1 st Holder SH-2  2 nd Holder SH-2  3 rd Holder TH-2
2	Pledging / 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 on the Stock Exchange.	 1 st Holder SH-2  2 nd Holder SH-3  3 rd Holder TH-3
3	Mutual Fund Transactions being executed on Stock Exchange order entry Platforms	 1 st Holder SH-2  2 nd Holder SH-3  3 rd Holder TH-3
4	Tendering shares in open offers through Stock Exchange Platforms	 1 st Holder SH-2  2 nd Holder SH-3  3 rd Holder TH-3

General Clause

1. The Beneficial Owner (BO) and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, Securities and Exchange Board of India (Depositories and Participants) Regulations, 2018 (DP Regulations), rules and regulations of Securities and Exchange Board of India (SEBI), circulars/notifications/guidelines issued there under, bye laws and business rules/operating instructions issued by the depositories and relevant notifications of Government Authorities as may be in force from time to time
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

Statement of account

14. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI / depository in this regard.
15. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
16. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
17. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his / her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

20. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5 & 6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

22. As per Section 16 of Depositories Act, 1996,
 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.
25. The Joint holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority

Redressal of Investor grievance

26. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

27. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

28. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/ notices issued there under or Rules and Regulations of SEBI.
29. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Byelaws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
30. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
31. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/ notices issued there under by the depository and/or SEBI
32. Any changes in the rights and obligations which are specified by SEBI / Depositories shall also be brought to the notice of the clients at once.
33. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

<input type="checkbox"/> New	<input type="checkbox"/> Update	Customer Id												Application Date: D D M M Y Y Y Y
Account Number				Trading A/c No.										
DP ID 12094600		Client ID												

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

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				
Date of Birth:	D D M M Y Y Y Y	PHOTO		
Gender*	<input type="checkbox"/> M-Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender			
Marital Status*	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others			
Citizenship*	<input type="checkbox"/> IN-Indian <input type="checkbox"/> Others (ISO 3166 Country Code <input type="checkbox"/> <input type="checkbox"/>)			
Residential Status*	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Individual			
	<input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin			
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector)			
	<input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student)			
	<input type="checkbox"/> B-Business <input type="checkbox"/> X-Not Categorised			
Legal Entity Identifier (LEI) No.				

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

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

ISO 3166 Country Code of Jurisdiction of Residence*

Tax Identification Number or equivalent (if issued by jurisdiction)*

Place / City of Birth* ISO 3166 Country Code of Birth*

3. PROOF OF IDENTITY (PoI) (Please refer Instruction C at the end)

PAN Card

4. PROOF OF ADDRESS (PoA)

PERMANENT ADDRESS

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

Permanent Address*	<input type="checkbox"/> Passport <input type="checkbox"/> Driving Licence <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Voter Identity Card <input type="checkbox"/> Other	<input type="checkbox"/>
	<input type="checkbox"/> Bank Statement	
Passport No.	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Passport Expiry Date D D M M Y Y Y Y
Aadhaar No.	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Driving Licence Expiry Date D D M M Y Y Y Y
Voter ID No.	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Driving Licence No. <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

Address

Line 1*	
Line 2	
Line 3	
Country	Pin / Post Code* <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

4.2 CORRESPONDENCE

Same as Permanent address details

Line 1*	
Line 2	
Line 3	
Country	City/Town/Village* <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
	Pin / Post Code* <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* Same as Correspondence address details

Line 1*													
Line 2													
Line 3												City/Town/Village*	
Country						Pin / Post Code*							

5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)Mobile Email ID **6. DETAILS OF RELATED PERSON** (In case of additional related persons. Please fill 'Annexure B1') (Please refer instruction G at the end) Addition of Related Person Deletion of Related PersonKYC Number of Related Person (If available*) Related Person Type* Guardian of Minor Assnee Authorized Representative

Prefix	First Name	Middle Name	Last Name
Name*	<input type="text"/>		

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

PROOF OF IDENTITY [PoI] OF RELATED PERSON (Please see instruction (H) at the end) A - Passport Number Passport Expiry Date B - Voter ID Card C - PAN Card D - Driving Licence Driving Licence Expiry Date E - UID (Aadhaar) **8.**

- I and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it
- hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address. hereby declare that the details furnished above are true and correct to the best of my knowledge

Date

Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY Documents Received Certified CopiesDate Emp. Name Emp. Code Emp. Branch Emp Designation Employee Signature

Declaration for Common Mobile number / Email ID for Trading accounts of Family Members

Date : _____

To,
YES SECURITIES (India) LimitedAFL House, 4th Floor,
Lok Bharti Complex, Marol Maroshi Road,
Andheri (E), Mumbai - 400 059, Maharashtra.

Subject : Common Mobile number / Email ID for Trading accounts of Family Members

Dear Sir,

I, Mr/Ms _____ would like to confirm that the Mobile number _____ and E-mail ID _____ is registered in my name. I am enclosing self attested copy of latest paid bill for your information and record. I am your registered client having trading code as _____

I have to state that with my full knowledge I have consented to the below clients who is / are my relative/s to state my mobile number/email id in their KYCs to which I have no objection. All the transactions in their accounts are not only done as per their respective instructions but they are well conveyed by me of all the SMS/Email belonging to them which are sent by you to me on my above mobile number/email id

All these below clients also do not have any objection to the same, in consent they have also signed

Sr. No.	Client Name	Trading Code	Relation	Signature

However, in case of any further regulatory requirements, I undertake to abide upon hearing from you.

Thanking You.

Name : _____

Address : _____

Signature: _____

Dear Customer,

Greetings from YES SECURITIES!

This is in reference to SEBI circular no.: SEBI/MRD/SE/Cir.42/2003 dated 19/11/2003 on the captioned subject.

Any stock broker carrying out Proprietary (PROP) trading in its account besides carrying out trades for and on behalf of its clients is required to inform its clients about the same.

In view of above, we would like to inform you that YES SECURITIES is intending to carryout Proprietary trading w.e.f. June 15, 2020 in its own account. Further, the Company shall also be disseminating the same on its website www.yesinvest.in

This communication is only for your information purpose and does not impact your trading account in any way.

Sincerely,
YES Securities (India) Limited

www.yesinvest.in

E-Mail: customer.service@ysil.in

YES Securities (India) Limited Registered Address: 2nd Floor, North Side, YES BANK House, Off Western Express Highway, Santacruz East, Mumbai - 400055. Maharashtra, India | Correspondence Add: 4th Floor, AFL House, Lok Bharti Complex, Marol Maroshi Road, Andheri East, Mumbai - 400059 | Website: www.yesinvest.in | Email ID: customer.service@ysil.in | igc@ysil.in | Registration Nos.: CIN: U74992MH2013PLC240971 | SEBI Registration No.: NSE, BSE, MCX & NCDEX : INZ000185632 | Member Code: BSE – 6538, NSE – 14914, MCX – 56355 & NCDEX - 1289 | CDSL & NSDL: IN-DP-653-2021 | MERCHANT BANKER: INM000012227 | RESEARCH ANALYST: INH000002376 | INVESTMENT ADVISER: INA000007331 | Sponsor and Investment Manager to YSL Alternates Alpha Plus Fund (Cat III AIF) SEBI Registration No.: IN/AIF3/20-21/0818 | AMFI ARN Code – 94338 | Details of Compliance Officer: Aditya Goenka: Email id: compliance@ysil.in / Contact No: 022-65078127. Disclaimer: Investment in securities market are subject to market risks, read all the related documents carefully before investing. Brokerage will not exceed the SEBI /Exchanges prescribed limit.

To,
YES Securities (India) Limited,
AFL House, 4th Floor,
Lok Bharti Complex,
Marol Maroshi Road,
Andheri (E), Mumbai – 400 059.

Sub: Most Important Terms and Conditions (MITC) (For non-custodial settled trading accounts) As per regulatory requirement, I/we acknowledge the standard Most Important Terms and Conditions as mentioned below.

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

Yours Faithfully,

Name of the client: _____

Date:

Place:



YES Securities (India) Limited (hereinafter referred to as YSL), member of National Stock Exchange of India Limited (NSE) and BSE Limited (BSE) is eligible to provide Margin Trading Facility (MTF) in NSE and BSE to its clients in accordance with prescribed guidelines, rules and circulars issued by SEBI / Stock Exchanges from time to time. The Rights & Obligations / Terms & Conditions for MTF prescribed hereunder form a part of account opening form, shall be read in conjunction with the rights and obligations as prescribed under SEBI circular no. CIR/ MIRSD/ 16/ 2011 dated August 22, 2011, SEBI Circular No. CIR/MRD/DP/54/2017 Dated June 13, 2017 and the Rules, Regulations, Bye laws, Rights and Obligations, Guidelines, circulars issued by respective Stock Exchanges from time to time. By accepting the same, the client hereby acknowledges that he/she is aware and will abide the rights and obligations, rules, regulations and guidelines relating to Margin Trading Facility as specified by the regulators and mentioned below which is indicative and not the exhaustive list.

A. The Client undertakes, authorizes, confirms and agrees to/that:

1. Avail MTF in accordance with the terms and conditions of MTF offered by YSL.
2. YSL at all times shall have the liberty to exercise its right in its sole discretion to determine the extent to which the MTF to be made available to the Client.
3. The Initial Margin payable shall be in the form of cash, cash equivalent, or Group I Equity securities with appropriate hair cut.
4. If the transaction is entered under MTF, there will not be any further confirmation that it is margin trading transaction other than contract note
5. YSL shall have discretion to allocate available securities/funds as collateral against MTF.
6. YSL shall not be bound to grant MTF to the Client (which decision shall be at the sole and exclusive discretion of YSL) and YSL shall not be required to provide any reasons thereof nor shall YSL be liable for any damages (whether direct or consequential or whether financial or non-financial) to the Client by reason of YSL's refusal to grant MTF to the Client.
7. Client includes Individual, Company, Partnership Firm, Trust, Hindu Undivided Family, Association of Persons and Body of Individuals etc.
8. The terms / conditions / Obligations of the Client as amended from time to time shall be irrevocable and shall not be revoked by the death/dissolution/ winding up of the Client.
9. YSL to retain and / or pledge the securities and its corporate benefits, if any, with YSL utilized for availing MTF till the amount due in respect of the said transaction including the dues to YSL is paid in full by the Client.
10. YSL to hold and / or to appropriate the credit lying in the Client account and/or any unutilized/ unpledged shares/ securities lying in demat account along with all other demat accounts / Mutual Funds / IPO account of the Client towards the repayment of the outstanding dues thereof under MTF.
11. Treat the securities available in demat account/s linked to the trading account of the Client as margin towards the MTF availed.
12. YSL shall provide MTF only in respect of such shares, as may be permitted by Stock Exchange/ SEBI.
13. The margin trading arrangement between the YSL and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the margin trading facility provided to YSL or YSL surrenders the facility or the YSL ceases to be a member of the stock exchange.
14. The MTF facility may be withdrawn by YSL, in the event of client committing any breach of any terms or conditions therein or at anytime after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the margin trading facility in the event of YSL committing any breach of any terms or conditions therein or for any other reason.

15. In the event of termination of this arrangement, the client shall forthwith settle the dues of the YSL. YSL shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes the YSL to make such adjustment.

16. After such adjustment, if any further amount is due from the client to the YSL, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to YSL, YSL shall release the balance amount to the client.

17. If the client opts to terminate the margin trading facility, YSL shall forthwith return to the client all the collaterals provided and funded securities retained on payment of all the dues by clients.

18. YSL will not use the funds of one client to provide MTF to another client, even if the same is authorized by the first client.

19. Any disputes arising between the client and YSL in connection with the margin trading facility shall have the same treatment as normal trades and should be covered under the investor grievance redressal mechanism, arbitration mechanism of the stock exchange. However, any losses suffered in connection with the margin trading facility availed by the client from YSL shall not be covered under IPF.

20. Client agrees to pay Interest at the rate as applicable. (plus taxes, if any applicable) on debit arising out of the exposure availed by the client (i.e. the amount financed by YSL), compounded monthly and any changes as mutually agreed from time to time. GST will be levied on interest for Margin Trading Facility, if applicable as per prevalent regulatory norms.

21. Eligible Securities & Margin Required for MTF:

Securities specified under "MTF Approved Category List" by YSL from time to time which must be a part of 'Group I security' as per Exchanges /SEBI shall be eligible for MTF. YSL reserves the right to include or exclude any Securities from its "MTF Approved Category List" as per the Risk Management policy.

The client shall deposit the following initial margin, in order to avail MTF:

Category of Stock	Applicable Margin
Group I stocks available for trading in the F & O Segment	VaR + 3 times of applicable ELM or YSL MTF VaR (whichever is higher)
Group I stocks other than F&O stocks	VaR + 5 times of applicable ELM or YSL MTF VaR (whichever is higher)

22. Rights of the Client

1. Client shall receive all communications in a mode mutually agreed between YSL and the client regarding confirmation of orders/trades, margin calls, decision to liquidate the position / security.
2. Free to take the delivery of the securities at any time from its MTF account to normal trading account by repaying the amount that was paid by YSL to the Exchange towards securities after paying all dues.
3. May change the securities collateral offered for MTF at any time so long as the securities so offered are approved for MTF by YSL.
4. Client may close / terminate the Margin Trading Account at any time after paying the dues

23. Obligations of the Client

1. Client shall, in writing in his own hand or in any irrefutable electronic method, agree to avail of MTF in accordance with the terms and conditions of MTF offered by YSL, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position.
2. Client shall inform YSL of its intent to shift the identified transaction under MTF within the time lines specified by YSL failing which the transaction will be treated under the normal trading facility
3. Client shall place the margin amounts as YSL may specify to the client from time to time.

4. On receipt of 'margin call', the client shall make good such deficiency in the amount of margin placed with the YSL within such time as the YSL may specify.
5. By agreeing to avail MTF with YSL, client is deemed to have authorized YSL to retain and/or pledge the securities provided as collateral or purchased under the MTF till the amount due in respect of the said transaction including the dues to YSL is paid in full by the client.
6. Client shall lodge protest or disagreement with any transaction done under the margin trading facility within the timelines as may be agreed between the client and YSL.

24. Rights of YSL

1. YSL and client may agree between themselves the terms and condition including commercial terms if any before commencement of MTF.
2. YSL may set up its own risk management policy that will be applicable to the transactions done under the MTF. YSL may make amendments there to at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the MTF.
3. YSL has a right to retain and/or pledge the securities provided as collateral or the securities bought by the client under the MTF.
4. YSL may liquidate the securities if the client fails to meet the margin call made by YSL as mutually agreed of liquidation terms but not exceeding 5 working days from the day of margin call. However, YSL, as per its Policies and Procedures, as agreed between YSL and the client at the time of account opening and any subsequent changes thereof (which are updated on the website from time to time), has the right to sell client's securities or close client's position, without giving any notice to the client in case when market is volatile and/or there are losses in the client's which are not paid by the client with immediate effect. YSL being a web based broker, disseminates all risk related information real time & online and all clients are bound to log in to their trading account and keep themselves updated about their positions and margin requirements made available on real time basis.

25. Obligations of YSL

1. Any transaction to be considered for exposure to MTF shall be determined as per the policy of YSL provided that such determination shall happen not later than T + 1 day. In case the determination happens after the issuance of contract, YSL shall issue appropriate records to communicate to Client the change in status of transaction from Normal to Margin trading and should include information like the original contract number and the margin statement and the changed data.
2. Margin Trading Accounts where there were no transactions for 90 days shall be settled immediately.
3. If securities are liquidated due to 'margin call', the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.
4. The stocks deposited as collateral with YSL for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and there shall not be any comingling for the purpose of computing funding amount

26. Mode of Communication

1. Accept all types communications including consent to the Terms and Conditions, order / trade confirmation, revision in margin, margin calls / decision to liquidate the position / security / collateral, Margin statements, margin policies on hair-cuts / VAR margin, Risk management policies, Rights & obligations, allowable exposure, specific Security exposure etc herein through email / SMS from/to his email id / mobile number registered with YSL or by online mode by logging-in on the website of YSL in a secured manner or by physical mode, based on client's preference.
2. Any communication done with any of the aforesaid means shall be deemed to have been received by the client.

I have read and understood the above terms and hereby give my consent to abide the same and to enable the Margin Trading Facility in my trading account.

Date:

Place:



Sole/First Account Holder

Second Account Holder

Third Account Holder

INSTRUCTIONS / CHECKLIST FOR FILING KYC FORM

A. IMPORTANT POINTS

1. Self-attested copy of PAN card is mandatory for all clients.
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 a minor's account with Depository Participant or Mutual Fund, 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.
12. In case of foreign address, the address containing Post Office Box Number (P.O. Box. No.) may be accepted as valid address provided such P.O. Box No. is mentioned in the valid proof of address documents. The address with P.O. Box No. may be accepted as Permanent and/or Correspondence address. In such cases, additionally the DPs shall obtain the complete residential address of the NRI BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card Driving license.
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 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 maybe accepted.

D. Exemptions / clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and / or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities / multi lateral 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, FPIs, Mutual Funds (MFs), Venture Capital Funds (VCFs), Foreign Venture Capital Funds (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 2(72) of the Companies Act, 2013, 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:

6. 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).
7. 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

Policy on Handling of Good Till Cancelled Orders of the Clients

SEBI vide Circular No. 40/2024, NSE/INSP/62528 dated June 21, 2024), has prescribed framework for Trading Members to provide policy for GTD (Good Till Date)/GTC (Good Till Cancel) and GTT (Good Till Trigger) or any similar kind of trades

Details of GTDt Order and Validity

- GTDt order facility allows users to buy or sell a share, index future & index options at a specified price till a pre-defined validity date.
- In this facility, the user gets to set the order validity date (with a maximum validity of 30 days or expiry of the contract whichever is earlier).
- This order will remain in effect until executed, expired, or cancelled till the validity date or contract expiry date whichever is earlier.
- Users can place orders at a specified price and quantity for stocks, index futures & index options.
- The price range of the GTDt order should be within the limit prescribed by the exchange on the given day.
- GTDt orders will be allowed for Limit condition, Market order will not be allowed.
- Once the order is placed successfully it will be displayed in the order book
- The user will be able to modify/cancel the GTDt order from the order book as per the user's requirement by selecting the GTDt order which the User has placed.
- The order will be pumped to exchange every day till one of the following events occurs.
 - ◆ Order gets fully executed
 - ◆ Validity of the order expires
 - ◆ Customer cancels order
- Order will be active in the system till the date which user has selected.
- Funds/Securities for the order will be blocked daily till the order is valid/order gets executed.
- In case of corporate action, the order is not changed, modified, or adjusted as per the said corporate action. The order is retained as it was, when the user had placed the order till validity/contract expiry / executed / cancelled by the user as the case may be
- Corporate actions will be intimated to the clients NOT later than 1 day prior of the EX-Date of the Corporate action
- Intimation to the clients will be done via email and/or SMS

INSTRUCTIONS / CHECK LIST

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

Copy of ITR Acknowledgment	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/Authorized Person'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 signature.

IMPORTANT:

1. Sign in the provided for "Signature of Authorised Signatory" within the box "For Office USE Only" on the KYC Form and
2. Affix the IPV stamp along-with the signature on the relevant supporting documents pertaining to Proof of Identity & Proof of Address.
3. Separate Accounting Opening Form shall be used for opening trading account of NRI, HUF, Partnership Firm and Unregistered Trust.

Intentionally Left Blank

FOR OFFICE PURPOSE ONLY

Marketing Executive (E1)	<input type="text"/>	Relationship Manager (E2)	<input type="text"/>	
Remiser (if any)	<input type="text"/>	Branch/ FAN	<input type="text"/>	
Sourcing Channel	<input type="text"/>			
CLIENT RISK CATEGORISATION UNDER PMLA:		<input type="checkbox"/> LOW RISK	<input type="checkbox"/> MEDIUM RISK	<input type="checkbox"/> HIGH RISK

 CDSL DP ID : 12094600Client ID:

SUBMISSION CHECKLIST

1. Complete Documentation Received Yes No If No, give details _____

2. "Verified with Original" stamp affixed on proofs Yes No

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

3. "PAN verified" stamp with Employee name & signature affixed on proof Yes No4. Margin Money collected Yes No Amount in Rs. _____ Rs. (in words) _____Chq./ CMS No: _____ Chq./ CMS. Date: DDMMYY YY Bank Name _____

I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document(s), RDD, Guidance Note & Do's & Dont's.

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

I am aware that if any of the requirements is not fulfilled then a penalty would be charged to me or any other action may be taken as deemed fit by the Management for non compliance from my end.

Branch Address : _____

Pincode : _____

Name of the Employee of YES Securities (India) Limited: _____ Employee Code : _____

Representative Signature & Stamp :



Signature of Client



Date

 DDMMYY YY

FOR OFFICE USE ONLY

Form Maker (BSP / Officer & Above)

Employee Code

Employee Name & Signature _____

Form Checker (BSL / BBL / Sr. Officer & Above)

Employee Code

Employee Name & Signature _____

Do not forget to take your acknowledgment copy.

ACKNOWLEDGE

1. YES Securities (India) Ltd. Tariff Sheet (Part A - Page No. 9, 23)
2. Rights & Obligation Document (Part B - Page No. 2-5 & 18-25)
3. Risk Disclosure Document (Part B - Page No. 6-8 & 26-30)
4. Guidance note (Part B - Page No. 9-10 & 31-32)
5. Policies and Procedures (Part B - Page No. 11-13 & 33-37)
6. Voluntary Clauses (additional clauses other than specified by SEBI.) (Part C - Page No. 38-62)
7. Right and Obligations of Beneficial Owner and Depository (Part D Page No.66-68)
8. Investor Charter Stock Broker (Part B - Page no. 14-17)
9. Investor Charter Depository Participant (Part D - Page no. 69-74)

Client's Signature:  _____

Client Name: _____



CUSTOMER PROFILE ANNEXURE FOR RESIDENT/NON-RESIDENT INDIVIDUALS

(To be filled by applicant only)

✓ YES SECURITIES

(Fields marked as '*' are Mandatory)

Customer ID **Account No.**

PERSONAL DETAILS

Name (as per identity proof document)

Name _____

A horizontal row of 20 empty square boxes, each with a thin black border, intended for handwritten responses.

Enhanced Due Diligence: Non Face to Face

Q Complete KYC

Q Relaxed KYC

Political Exposure*: Politically Exposed Person

○ Related to Politically Exposed Person

Q N/A

Whether Non-Face to Face Customer* Yes No

Whether Tax Residence (Country of Jurisdiction of residence) or Country of Domicile is India* Yes No

CUSTOMER PROFILE (shade as applicable)

Residence Type*²	<input type="radio"/> Self Owned <input type="radio"/> Rented <input type="radio"/> Others <i>(please specify)</i> <input type="text"/>	<input type="radio"/> Family Owned <input type="radio"/> PG Accommodation	<input type="radio"/> Company owned
Educational qualification*³	<input type="radio"/> Upto 10th <input type="radio"/> Post Graduate	<input type="radio"/> Under graduate (upto 12th) <input type="radio"/> Professional Courses (ITI, etc)	<input type="radio"/> Graduate <input type="radio"/> Illiterate
Occupation Type*⁴	<input type="radio"/> Salaried ^{4.1} <input type="radio"/> Diplomat <input type="radio"/> Retired <input type="radio"/> Others <i>(please specify)</i> <input type="text"/>	<input type="radio"/> Self Employed ^{4.2} /Business ^{4.3} <input type="radio"/> Filmstar <input type="radio"/> Student	<input type="radio"/> Agriculturist / Farmer <input type="radio"/> Homemaker <input type="radio"/> Not working
If Salaried^{4.1}, Employed with details	<input type="radio"/> Private Ltd Company <input type="radio"/> Educational Institutions <input type="radio"/> Foreign National / Diplomats <i>(please specify)</i> <input type="text"/>	<input type="radio"/> Public Ltd Company <input type="radio"/> Multinational <input type="radio"/> Others	<input type="radio"/> Government <input type="radio"/> PSU's
If Self Employed^{4.2} /Business^{4.3}, "Type of Company/Firm	<input type="radio"/> Proprietorship firm <input type="radio"/> Private Ltd Company <input type="radio"/> Others <i>(please specify)</i> <input type="text"/>	<input type="radio"/> Partnership Firm	<input type="radio"/> Public Ltd Company
		Name of the Business entity / Company / Firm <input type="text"/>	
		Period in Current Business <input type="text"/> Years <input type="text"/> Months	
If Self Employed^{4.2.1} Please select profession as applicable	<input type="radio"/> Practicing Chartered Accountant <input type="radio"/> Practicing Doctor <input type="radio"/> Practicing Cost Accountant <input type="radio"/> Others <i>(please specify)</i> <input type="text"/>	<input type="radio"/> Practicing Company Secretary <input type="radio"/> Practicing Lawyer <input type="radio"/> Practicing Architect	
If in business^{4.3.1}, its Nature of Business	<input type="radio"/> Trading <input type="radio"/> Agriculture <input type="radio"/> Others <i>(please specify)</i> <input type="text"/>	<input type="radio"/> Manufacturing <input type="radio"/> Real Estate	<input type="radio"/> Service Provider

CUSTOMER PROFILE ANNEXURE FOR RESIDENT/NON-RESIDENT INDIVIDUALS

(To be filled by applicant only)

YES SECURITÉS

Identity Details (Shade as applicable)*

PAN Submitted Yes No

KYC Documents Verified Online Yes No

Other _____

Passport Submitted Yes No

Driving License Submitted Yes No

PAN not Submitted but Form 60 Submitted

(except BSBDA, PMJDY) Yes No

TERMS & CONDITIONS*

- I hereby declare that the details furnished above are true & correct to the best of my knowledge & belief and affix my signature in Individual capacity. I hereby undertake to inform you of any changes therein immediately.
- I hereby further declare and confirm that as risk categorization of my account is done basis the details furnished by me , in the event , any of the above information is found to be false or un-true or mis-leading or mis-representing, YES Securities (India) Limited reserves right to take necessary action including but not limited to freezing my account.

Date D D M M Y Y Y Y



Signature / Thumb Impression of Applicant

**FATCA – CRS ANNEXURE
FOR INDIVIDUALS**

 **YES SECURITIES**

Details under FATCA and CRS (see instructions)
(Please consult your professional tax advisor for further guidance on your tax residency, if required)

FOR OFFICE USE ONLY CUSTOMER ID 									
SECTION A: Personal Details									
PREFIX		FIRST NAME			MIDDLE NAME/LAST NAME (Please leave one space between words)				
City Of Birth			Country Of Birth			Nationality			
Residence Address for Tax Purpose (Tick against one which is applicable)									
Same as the address mentioned in Application Form/provided for Bank Record					Type of the provided address (Tick against one which is applicable)				
<input type="checkbox"/> Mailing Address <input type="checkbox"/> Permanent Address <input type="checkbox"/> Other (Provide detailed address below)					<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office				
If Others provide your Residence Address for Tax Purpose in detail here									
					CITY				
					STATE				
					COUNTRY				
					PIN				

SECTION B: Tax Residence Declaration(If Yes, then please fill Section C in detail)

I am a citizen / national / tax resident of any country other than India.

Yes No

SECTION C: Identification Details									
PREFIX		FATHER'S FIRST NAME			FATHER'S MIDDLE NAME/LAST NAME (Please leave one space between words)				
Document submitted as proof of identity of the individual (tick against one which is applicable and provide identification Number)									
DOCUMENT TYPE		IDENTIFICATION NUMBER			DOCUMENT TYPE		IDENTIFICATION NUMBER		
Passport		<input type="checkbox"/>			Driving License		<input type="checkbox"/>		
Voters ID Card		<input type="checkbox"/>			Aadhaar Card		<input type="checkbox"/>		
PAN Card		<input type="checkbox"/>			NREGA Job Card		<input type="checkbox"/>		
Govt. ID card		<input type="checkbox"/>			Others		<input type="checkbox"/>		

Please indicate all the country/countries in which applicant/s is/are resident for tax purposes and the associated Tax ID Number below

Country/(ies) of Tax residency #		Tax Identification Number (TIN) [#]		Identification Type (TIN or Other [%] , please specify)	

[#] To also include USA, where the individual is a citizen/ green card holder of USA

[%] In case Tax Identification Number is not available, kindly provide functional equivalent. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form

SECTION D: Certification, Terms & Conditions and Instructions

I under penalty of perjury, I certify that:

- I understand that YES BANK is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. YES BANK is not able to offer any tax advice on FATCA or CRS or its impact on me. I have sought/ shall seek advice from professional tax advisor for any tax questions.
- I agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- I agree that as may be required by domestic regulators/tax authorities, YES BANK may also be required to report, reportable details to CBDT or other authorities/agencies or close or suspend my account, as appropriate.
- I hereby confirm that I have understood the information requirements of this Form (read along with the FATCA/CRS Instructions) and certify that the information provided by me on this Form including my taxpayer identification number is true, correct, and complete.
- I further confirm that I have read and understood the FATCA/CRS Terms and Conditions below and hereby accept the same.

Date: ___/___/___ Place: _____

Signature _____



FATCA/CRS Terms and Conditions

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income tax Rules, 1962, which Rules require Indian financial institutions such as YES BANK to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with YES BANK or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

FATCA/CRS Instructions

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number.

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non tax resident in the respective country, customer to provide relevant *Curing Documents* as mentioned below:

FATCA/ CRS Indicia observed	Documentation required for Cure of FATCA/ CRS indicia
	If customer <i>does not agree</i> to be Specified U.S. person/ reportable person status
U.S. place of birth	1. Self-certification (as specified above) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND 3. Any one of the following documents: a. Certified Copy of "Certificate of Loss of Nationality" or b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
Residence/mailing address in a country other than India	1. Self-certification (as specified above) that the account holder is neither a citizen of United States of America nor a resident for tax purposes in any other country; and 2. Documentary evidence
Telephone number in a country other than India (and no telephone number in India provided)	1. Self-certification (as specified above) that the account holder is neither a citizen of United States of America nor a resident for tax purposes in any other country; and 2. Documentary evidence

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body*
2. Valid identification issued by an authorized government body*(e.g. Passport, National Identity card, etc.)

*Government or agency thereof or a municipality of the country or territory in which the applicant claims to be a resident.