

## Income / Non Debarred Declaration

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

Trading Code : \_\_\_\_\_

Date: : \_\_\_\_\_ 20

To,

**SBICAP Securities Ltd.**

II Floor, Wing A, Mafatlal Chambers,

N.M. Joshi Marg, Lower Parel, Mumbai-400 013.

### Subject: Income Declaration

Dear Sir/Madam,

I have opened a trading account with you, and I intend to trade/deal on a regular basis. I furnish below my latest financial details/networth details as on date, as per the requirement under the Prevention of Anti Money Laundering Act, 2002, the rules, notices there under and SEBI and Exchange/ Depository guidelines issued on Anti Money Laundering.

#### FINANCIAL STATUS:

**a) Annual Income for Assessment Year** \_\_\_\_\_/\_\_\_\_ (Latest)

- |   |   |   |  |
|---|---|---|--|
| <input type="checkbox"/> Upto Rs.1lakhs             | <input type="checkbox"/> Rs.1lakhs to Rs.2 lakhs    | <input type="checkbox"/> Rs.2 lakhs to Rs.5 lakhs | <input type="checkbox"/> Rs.5 lakhs to Rs.10 lakhs |
| <input type="checkbox"/> Rs.10 lakhs to Rs.25 lakhs | <input type="checkbox"/> Rs.25 lakhs to Rs.50 lakhs | <input type="checkbox"/> Rs.50 lakhs to Rs.1crore | <input type="checkbox"/> Rs.1crore and above       |

**b) Networth Details (as on the date of Declaration)**

- |   |   |   |  |
|---|---|---|--|
| <input type="checkbox"/> Upto Rs.1lakhs             | <input type="checkbox"/> Rs.1lakhs to Rs.2 lakhs    | <input type="checkbox"/> Rs.2 lakhs to Rs.5 lakhs | <input type="checkbox"/> Rs.5 lakhs to Rs.10 lakhs |
| <input type="checkbox"/> Rs.10 lakhs to Rs.25 lakhs | <input type="checkbox"/> Rs.25 lakhs to Rs.50 lakhs | <input type="checkbox"/> Rs.50 lakhs to Rs.1crore | <input type="checkbox"/> Rs.1crore and above       |

I, 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 writing.

I also hereby agree to provide income details at the end of every financial year to SSL

Yours faithfully,

\_\_\_\_\_  
(Name & Signature of the Client)

#### LIST OF INCOME DOCUMENT

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> ITR Acknowledgement                                   | <input type="checkbox"/> Annual Account | <input type="checkbox"/> Form 16 in case of salary income               |
| <input type="checkbox"/> Net worth certificate                                 | <input type="checkbox"/> Salary slip    | <input type="checkbox"/> Bank/Demat account statement for last 6 months |
| <input type="checkbox"/> Any other relevant substantiating ownership of assets |   |   |

## Non Debarred Declaration

Please ✓ as applicable

- ☐ I hereby declare and confirm that I have not been prohibited / debarred from dealing in securities and no penalty has been imposed on me for violation of security laws/other economic offences by SEBI or any other regulation authority. I also declare that no penalty proceedings are pending against me. I hereby undertake to notify you forthwith of changes in this regard and shall not do anything in violation of such orders, if any at a later date.
- ☐ I give hereunder action taken by SEBI / Stock Exchanges / any other authority for violation of Securities Laws / other economic offences during last three years.

I also keep you indemnified against all losses claims, damages and charges etc., if any, that may be made by any person, body or authority against SSL for any loss or damage that may be caused to and or cost, charges and or expenses that may be suffered or incurred by your acting on the basis of my / our above declaration.

Yours faithfully,

\_\_\_\_\_  
(Name & Signature of the Client)

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

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