

ACKNOWLEDGMENT / CONFIRMATION OF RECEIPT OF EXECUTED DOCUMENTS**INNOVATE SECURITIES PVT. LTD.**

1st Floor. "Devashish", 39, Sardar Patel Nagar, Nr. Nest Hotel, Navrangpura, Ahmedabad - 380 006.

Ph.No.: 079 - 2647 4500. Website : www.innovatesec.com

Complain E-mail for Trading : innovate95@rediffmail.com, ispl@innovatesec.com

Dear Sir,

I/We hereby acknowledge the receipt of duly executed copy of Application Form, Agreement, KYC, and all other documents as executed by me/us.

Client Name : Mr. / Ms.

Client Code :

| DEMAT No. | 1 | 2 | 0 | 3 | 3 | 8 | 0 | 0 | 0 | 0 | | | | | | |
|-----------|---|---|---|---|---|---|---|---|---|---|--|--|--|--|--|--|
|-----------|---|---|---|---|---|---|---|---|---|---|--|--|--|--|--|--|

- 1) I/We do hereby confirm the receipt of Copy of the duly completed KYC documents executed by me/us as your client.
- 2) I/We do hereby confirm the receipt of the tariff sheet, trading code/unique client code allotted to me/us including the E-mail ID furnished by me/us for the purpose of receiving electronic contract notes, statement of accounts and such other documents and as such have noted the User ID and Password given to me/us for the operations of the same through your website.
- 3) In case of non-receipt of the above or User ID & Password for tracking any transaction through your Website : www.innovatesec.com I/We will promptly notify your compliance officer on innovate95@rediffmail.com or Phone : 079 2647 4500.
- 4) Received and read the rights and obligation documents (DP & Trading)
- 5) The Depository Participant shall provide acknowledgment of the Nomination form to the Account holder(s)

I/We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me/us or suppression of any material information will render my account liable for termination and suitable action.

| | First / Sole Holder Guardian (in case of Minor) | Second Holder | Third Holder |
|---------------------------|--|---------------|--------------|
| Name(s) of Holder(s) | | | |
| Signature of Holder(s) | X | X | X |

(Signatures should be preferably in blue ink)

Place : _____

Date : _____

-----**(Please Tear Here)**-----

ACCOUNT OPENING KIT

INDEX

Annexure - 1

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

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

| | | | |
|----|--|---|---|
| 1. | Account Opening Form | A. KYC form - Document captures the basic information about the standing instruction. | 3 to 8 |
| | | B. Document captures the additional information about the constituent relevant to trading account. | 9 to 10 |
| 2. | Rights and Obligations | Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading). | SEPARATE COPY FOR CLIENT ALSO AVAILABLE ON www.innovatesec.com |
| 3. | Risk Disclosure Document (RDD) | Document detailing risks associated with dealing in the securities Market. | |
| 4. | Guidance Note | Document detailing do's and don'ts for trading on exchange, for the education of the investors. | |
| 5. | Policies and Procedures | Document describing significant policies and procedures of the stock broker (added by the stock broker). | |
| 6. | Rights & Obligations of Beneficial Owners & Depository Participants. | | |
| 7. | Tariff Sheet | Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) (added by the stock broker). Document to provide information to clients about AML measures for General Guidance of Clients | 2 |

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

| | | | |
|-----|--|--------------------------------|----------|
| 8. | 1. Schedule of Charges 2. Option Form for ISSUE of DIS Booklet. | | 11 |
| 9. | Voluntary Documents Document showing some basic information about Anti-money laundering measures | Running Account Authorization. | 12 |
| 10. | FATCA - CRS - DECLARATION | | 13 to 14 |
| 11. | Power of Attorney for the Purpose of Settlement / Margin Obligation. | | 15 to 16 |

Name of stock broker/trading member/clearing member : **INNOVATE SECURITIES PVT. LTD.**

Details of SEBI Registration Numbers and Date :

| Exchange | CM Segment | F&O / Equity Derivatives Segment |
|-----------|---------------------|----------------------------------|
| NSE & BSE | INZ000224735 | INZ000224735 |

Registered Office address & Correspondence Office Address : 1st Floor, "Devashish", 39, Sardar Patel Nagar, Nr. Nest Hotel, Navrangpura, Ahmedabad - 380 006. Phone No.: 079-26474500. Website : www.innovatesec.com
Compliance Officer Name, Phone No. & Email ID & CEO Name, Phone No. & Email ID : MR. PIMAL K. PANCHAL, Phone : 079 - 2647 4500, E-mail ID : innovate95@rediffmail.com

For any grievance/dispute please contact stock broker (INNOVATE SECURITIES PVT. LTD.) at the above address or email id innovate95@rediffmail.com, ispl@innovatesec.com and no. 079 - 2647 4500. In case not satisfied with the response, please contact the concerned exchange(s) as per following details.

| Exchange | E-mail ID | Phone No. |
|----------|--|----------------|
| NSE | lgmse@nse.co.in | 022 - 26598190 |
| BSE | is@bseindia.com | 022 - 22728097 |

Tariff Sheet :

BSE / NSE

| | 1 st Leg | | 2 nd Leg (same day) | |
|-----------|---------------------|------|--------------------------------|------|
| | %Age | Min. | %Age | Min. |
| Brokerage | | | | |
| Trading | | | | |
| Delivery | | | | |
| F & O | | | | |

Minimum Rs. 25/- per Contract

Notes :

- The above rates are exclusive of transaction charge, stamp Duty, Securities Transaction Tax, Service Tax, SEBI Fees, CM Charges & Other Applicable Charges which will be Charged extra at the rate prevailing from time to time.
- The General rates as mentioned here shall be applied unless the special rates as may be agreed by the Sub-Broker / Authorised Person / Introducer and client and the same are mentioned here.
- Other Taxes and Statutory Levies as prescribed by Government and regulatory authorities would be applicable, Such taxes and statutory levies are charged as applicable from time to time.
- Apart from above, delayed payment charges as per Policy & Procedures under mandatory documents forming part of KYC documents would also apply.
- INNOVATE SECURITIES PVT. LTD. Reserves the right to revise the brokerage structure, by publishing / displaying the same on its website - www.innovatesec.com

NOTE :- As per the SEBI Circular Ref. No. MRD / DOP / SE / Cir - 22/06 dated 18/12/2006 regarding the exclusive E-mail ID for redressal of investor complaints, Please note that the same is innovate95@rediffmail.com

Proprietary - trading Disclosure : This has reference to circular no. SEEI/MRD/SE/CIR.-42/2003 dated November 19, 2003 as mandated by the SEBI and / or the Exchanges(s). the stock broker hereby makes disclosure to the client that the stock broker may, from time-to-time, make investments in securities with a view to deploy its own surplus funds on its own proprietary account without any specific intimation to the client in this regard.

COMPLIANCE WITH THE PREVENTION OF MONEY-LAUNDERING * ACT (PMLA), 2002, AS AMENDED TILL DATE AND THE RULES, REGULATION AND GUIDELINES FRAMED THEREUNDER :

- The client confirms that all the information which may be required by the stock broker to enable it to comply with the provisions of the PMLA and the rules, regulations and guidelines framed thereunder has been dis-closed including issues related to "beneficial ownership", if any and also undertakes to provide the same on a on going basis whenever required.
- The client agrees to keep the stock broker informed of any change in the information provided earlier in this regard immediately in writing.



INNOVATE SECURITIES PVT. LTD.

1st Floor, "Devashish", 39, Sardar Patel Nagar, Nr. Nest Hotel,
Navrangpura, Ahmedabad - 380 006.



For Individuals

Application Type* : ☐ New KYC ☐ Modification KYC

Application No.

Central KYC Registry [Know Your Customer (KYC) Application Form]

DP SEBI Regn. No. : IN-DP-CDSL-594-2021

KYC Mode* : Please Tick (✓)

☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline EKYC ☐ Digilocker

1. Identity Details of Related Person (please refer guidelines overleaf)

PAN* Please enclose a duly attested copy of your PAN Card

Name of Applicant (Same as per ID Proof) _____

Maiden Name* (If any) _____

Fathers / Spouse's Name* _____

Mother Name* _____

Date of Birth* _____

Gender* ☐ Male ☐ Female ☐ Transgender

Marital Status* ☐ Single ☐ Married

Nationality* ☐ Indian ☐ Other _____

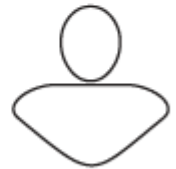
Residential Status* ☐ Resident Individual ☐ Non Resident Indian

Please Tick (✓) ☐ Foreign National ☐ Person of Indian Origin

(Passport mandatory for NRIs, PIOs and Foreign Nationals)

Occupation Type ☐ S - Service ☐ Private Sector ☐ Public Sector ☐ Government Sector
☐ O - Others ☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student
☐ B - Business
☐ X - Not Categorised

PHOTO



Applicant Photo

Cross Signature across Photograph

PROOF OF IDENTITY (POI)* Submitted for PAN exempted cases (Please tick)

☐ A - Aadhar Card X X X X X X X X _____
☐ B - Passport Number _____ (Expiry Date) _____
☐ C - Voter ID Card _____
☐ D - Driving License _____ (Expiry Date) _____
☐ E - NREGA Job Card _____
☐ F - NPR _____
☐ Z - Others _____ (Any Document notified by Central Government)
Identification Number _____

2. Address Details* (please refer guidelines overleaf)

A. Correspondence / Local Address*

Line 1* _____

Line 2 _____

Line 3 _____

City / Town / Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Applicant e-SIGN

B. Permanent residence address of Applicant, if different from above A/ Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____

Line 2 _____

Line 3 _____

City / Town / Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified**PROOF OF Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)**

| | | |
|--|-----------------------|---|
| <input type="checkbox"/> A - Aadhar Card | X X X X X X X X _____ | |
| <input type="checkbox"/> B - Passport Number | _____ | (Expiry Date) _____ |
| <input type="checkbox"/> C - Voter ID Card | _____ | |
| <input type="checkbox"/> D - Driving License | _____ | (Expiry Date) _____ |
| <input type="checkbox"/> E - NREGA Job Card | _____ | |
| <input type="checkbox"/> F - NPR Letter | _____ | |
| <input type="checkbox"/> Z - Others | _____ | (any Document notified by Central Government) |
| Identification Number _____ | | |

3. Contact Details

Email ID : _____

Mobile No.: _____

Tel. (Off.) : _____ Tel. (Resi.) : _____

4. 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.

DATE : ____ (DD-MM-YYYY) PLACE : _____

Applicant e-SIGN**Applicant Wet Signature****5. FOR OFFICE USE ONLY****In-Person Verification (IPV) carried out by***

KYC DATE : ____ (DD-MM-YYYY)

EMP. Name : _____

EMP. Code : _____

EMP. Designation : _____

Intermediary Details*☐ Self certified document copies received (OVD)☐ True Copies of documents received (Attested)

Name : INNOVATE SECURITIES PVT. LTD.

C - KYC Code : IN0448

CVL KRA POS CODE : 1100033800

INNOVATE SECURITIES PVT. LTD.

1st Floor, "Devashish", 39, Sardar Patel Nagar, Nr. Nest Hotel, Navrangpura, Ahmedabad - 380 006.

Employee Signature and Stamp



Annexure - 2.1

Additional Form for Opening a Demat Account

Depository Participant : **INNOVATE SECURITIES PVT. LTD.**

1st Floor, "Devashish", 39, Sardar Patel Nagar, Nr. Nest Hotel, Navrangpura, Ahmedabad - 380 006.

DP SEBI Regn. No. : **IN-DP-CDSL-594-2021**DP ID : **12033800**

Date :

Application No.

DP Internal Reference No.

DP ID :

1

2

0

3

3

8

0

0

Client ID :

0

0

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

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

Holders Details

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

Name *

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

Type of Account (Please tick whichever is applicable)

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

Details of Guardian (in Case the account holder is minor)

| | | | | | | | | | | | | | | | | | | | | |
|---------------------------------|--|--|--|--|--|--|--|--|--|--|-----|--|--|--|--|--|--|--|--|--|
| Guardian's Name | | | | | | | | | | | | | | | | | | | | |
| Relationship with the applicant | | | | | | | | | | | PAN | | | | | | | | | |

STANDING INSTRUCTIONS

| | | | |
|----|---|------------------------------|-----------------------------|
| 1. | Consent to receive credits automatically into my/our Account, (If not ticked, the default option would be "Yes") | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 2. | Account to be operated through power of attorney. (POA) | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 3. | Consent to send Electronic Transaction-cum-Holding Statement at Sole/First Holder's email Id Stated in the KYC | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 4. | Consent to share the email ID with the RTA | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 5. | Consent to receive SMS Alerts from CDSL (T & C available on www.innovatesec.com) | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 6. | Consent to avail of the facility of internet trading / wireless technology | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 7. | I / We require you to issue Delivery Instruction Slip (DIS) booklet | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 8. | Consent to accept all the pledge instructions in my/our account without any other further instruction from my/our end. (If not ticked, the default option would be "No") | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 9. | Consent to receive dividend / interest directly in to my bank account given below through ECS. (If not ticked, the default option would be "Yes") [ECS is mandatory for locations notified by SEBI form time to time] | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

| | |
|-------------|---|
| 10. | Consent to receive standard account opening documents <input type="checkbox"/> Electronic <input type="checkbox"/> Physical |
| 11. | Mode of receiving Annual Reports & Statement of Accounts. <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic (For all Online Clients or if not ticked, the default option would be Electronic) (Applicable for Demat Account) |
| 12. | Mode of receiving Contract Notes & Statement of Accounts. <input type="checkbox"/> Physical <input type="checkbox"/> Electronic (For all Online Clients or if not ticked, the default option would be Electronic) (Applicable for Trading Account) |
| 13. | Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Monthly |
| easi | To register for easi, please visit CDSL's website www.cdslindia.com , Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online. |

Bank Details (Dividend Bank Details)

| | | | | | | | | | | | |
|-------------------------------|---|----------|--|--|--|--|--|--|--|--|--|
| Bank Code (9 digit MICR code) | | | | | | | | | | | |
| IFS Code (11 Character) | | | | | | | | | | | |
| Account Number | | | | | | | | | | | |
| Account type | <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other (Specify) | | | | | | | | | | |
| Bank Name | | | | | | | | | | | |
| Branch Name & Address | | | | | | | | | | | |
| City | | Pin Code | | | | | | | | | |
| State | | Country | | | | | | | | | |

- (1) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
 (2) Photocopy of the bank Statement having name and address of the BO
 (3) Photocopy of the Passbook having name and address of the BO, (or)
 (4) Letter from the Bank.

– In Case of options (2,3 & 4 above, MICR code of the branch should be present / mentioned on the Document.

| | | |
|--|---|--|
| Other Details Gross Annual Income Details | Income Range per annum : | |
| | <input type="checkbox"/> up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> More than Rs. 25,00,000. | |
| | Net worth as on (Date) : <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Rs..... [Net worth should not be older than 1 year] | |
| Occupation | <input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Other (Specify) | |
| Please tick, if applicable : <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP) | | |
| Any other information : | | |
| SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4 | Mobile No.: +91..... [Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option). | |
| Easi | To register for easi, please visit our website www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online | |

Mode of Operation For Execution of Transactions (Transfer, Pledge & Freeze)

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

NOMINATION FORM

Nomination Form for Demat Accounts

Annexure - A



INNOVATE SECURITIES PVT. LTD.

Regd.: 1st Floor, "Devashish", 39, Sardar Patel Nagar, Nr. Nest Hotel, Navrangpura, Ahmedabad - 380 006.

| | | | | | | | | | | | |
|--|---|---|---|---|---|---|---|---|-------------|---|---|
| UCC/ DP ID : | 1 | 2 | 0 | 3 | 3 | 8 | 0 | 0 | Date : | | |
| (To be filled in by individual applying singly or jointly) | | | | | | | | | Client ID : | 0 | 0 |

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

Nomination Details

Nomination Number :

| | Mandatory Details | | | | | | Additional Details *** | |
|---------|-------------------|------------------------|---------------|----------------|------------------------|--|---------------------------|----------|
| | Name of Nominee | Share of Nominee (%)** | Relation Ship | Postal Address | Mobile No. & E-mail ID | Identity Number Pan/Aadhar/ D.L. No./Passport No. *** | D.O.B. of Nominee | Guardian |
| Nominee | | | | | | | | |
| 1. | | | | | | | | |
| 2. | | | | | | | | |
| 3. | | | | | | | | |

*Joint Accounts :

| Event | Transmission of Account |
|---|---|
| Demise of one or more joint holder(s) | Surviving holders(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 |

** if % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division/fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

*** Provide only number : PAN or Driving Licence or Aadhaar (last 4 digits). Copy of the document is not required. However, in case of NRI / OCI / PIO, Passport number is acceptable.




**** to be furnished only in following conditions / circumstances :

- 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.

1) I/We want the details of my/our nominee to be printed in the statement of holding or statement of account, provided to me/us by the DP as follows; please tick, as appropriate)

☐ Name of Nominee(s) ☐ Nomination : Yes No

2) Signature(s) – As per the mode of holding in demat account(s)

| Name(s) of Holder(s) | Signature(s) of holder / thumb impression | Signature of two Witness* | Name of Witness & Address (wherever applicable)* |
|-------------------------------|---|---------------------------|--|
| 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

Rights, Entitlement and Obligation of the investor and nominee :

- If you are opening a new demat account, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgment from the 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.
- In case all your nominees do not claim the assets from the DP, then the residual unclaimed asset shall continue to be with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account, in case of your physical incapacitation, at any point of time and not just during opening of account. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the demat account(s) i.e.
 - 'Either or Survivor' Accounts - any one of the holder can sign.
 - 'First Holder' Accounts - only First holder can Sign.
 - 'Jointly' Accounts - all holders have to sign.

Transmission aspects

- Dps shall transmit the 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.
- In case of a joint account, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s) annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- 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 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

Annexure - B

INNOVATE SECURITIES PVT. LTD.

Date :

UCC/
DP ID:

1 2 0 3 3 8 0 0

Client ID :

0 0

First / Sole Holder
Guardian (in case of Minor)

Second Holder

Third Holder

Name

I / we hereby confirm that I/We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my/our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

Signature(s)

X

X

X

Note : - The Trading Member / Depository Participant shall provide acknowledgment of the nomination form to the account holder(s)

- Residual Securities : In case of multiple nominees remaining after distribution of securities as per percentage of allocation shall be transferred to the first nominee.

DEPOSITORY ACCOUNT(S) DETAILS

| No. | DP Name | Beneficiary Name | DP ID No. | BO ID | Depository Name |
|-----|---------|------------------|-----------|-------|-----------------|
| | | | | | NSDL / CDSL |
| | | | | | NSDL / CDSL |

TRADING PREFERENCES

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

| Ex. Segment | NSE, BSE & MSEI | | | | MCX, NCDEX, BSE & NSE |
|--------------|------------------|-------|----------|------|-----------------------|
| All Segments | Cash/Mutual Fund | F & O | Currency | Debt | Commodity Derivatives |
| | | | | | |

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

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 :

DEALINGS THROUGH AUTHORISED PERSON & OTHER STOCK BROKERS ☐ No ☐ Yes (If yes, Please mention details below)

Name of Authorised Person :

Registration No.: NSE : BSE :

R.O. Address :

Tel. / Mo.: WebSite :

Whether registered with any other Stock Broker/Authorised Person (If registered with multiple Stock Broker, provide all details)

Name of Stock Broker : Client Code No.:

Name of Authorised Person : Name of Exchange :

* NRI CLIENT ☐ YES ☐ NO [For NRI Clients : Whenever there is a change in the Residential Address I will Inform the DP.]

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

Signature(s)

X

X

X

INTRODUCER DETAILS (Optional)

Name & Address of the Introducer :

Status of the Introducer : Remisier / Authorised Person / Existing Client / Director or Employee of Trading Member /

any other Person (Please Specify) Mo. No./Tel. No.:

Proof of Identity (POI) :

☐ PAN No. ☐ Passport No. ☐ Driving Licence ☐ Voter ID

Signature :

DECLARATION

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

Date :

X  Client's Signature

Place :

FOR OFFICE USE ONLY

| UCC Code allotted to the client : | | | |
|-----------------------------------|--------------------------------------|-------------------------------------|-----------------------------------|
| | Documents verified with Originals | Client Interviewed / Approved by | In person Verification done by |
| Name | | | |
| Signature | | | |
| Designation | | | |
| Emp. Code | | | |
| Date | | | |

I/We undertake that we have made the client aware of 'Policy and Procedures' Tariff sheet and all the non-mandatory documents.

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

For, INNOVATE SECURITIES PVT. LTD.

Signature of the Authorised Signatory

Seal/stamp of the stock Broker

Date :

**INNOVATE SECURITIES PVT. LTD.**

Regd.: 1st Floor, "Devashish", 39, Sardar Patel Nagar, Nr. Nest Hotel,
Navrangpura, Ahmedabad - 380 006. Phone No.: 079 - 2647 4500.
Web.: www.innovatesec.com | E-mail : innovate95@rediffmail.com

SCHEDULE OF CHARGES**DP ID 12033800**

| Particulars | Scheme - A Charges (For Regular Account) | Scheme - B Charges (One Time Non Refundable) | BSDA |
|--|--|--|---|
| | | | Holding Valuation in Demat Account |
| A. Charges | | | 1. Upto Rs. 4 Lakhs No AMC. 2. More than 4 Lakhs to 10 Lakhs AMC Rs. 100/- 3. More than Rs. 10 Lakhs - Not a BSDA. Regular AMC may be Levied. |
| Account Opening / Closing | NIL | NIL | |
| Annual Maintenance (AMC) | Rs. 350/- | Rs. 1,400/- (One Time) | |
| POA Charges (Power of Attorney) | Rs. 300/- | Rs. 300/- | Rs. 300/- |
| KRA Charges | Rs. 35/- (Per Holder) | Rs. 35/- (Per Holder) | Rs. 35/- (Per Holder) |
| Demat / Remat Request / Rejection | Rs. 5/- (Per certificate) + Rs. 75/- Postage (For Remat Charges Per 100 Shares) | Rs. 5/- (Per certificate) + Rs. 75/- Postage (For Remat Charges Per 100 Shares) | Rs. 5/- (Per certificate) + Rs. 75/- Postage (For Remat Charges Per 100 Shares) |
| Conversion of Mutual Fund Units represented by SOA into Demat & Redemption of Mutual Fund Units. | Rs. 100/- per Request | Rs. 100/- per Request | Rs. 100/- per Request |
| Custody Charges | NIL | NIL | NIL |
| B. Transfer of Securities | | | |
| Buy (Credit) | NIL | NIL | NIL |
| Sales (Debit) | (Rs. 20/- per ISIN for In-House market transactions with POA) (Rs. 40/- per ISIN for In-House market transactions Without POA) | (Rs. 20/- per ISIN for In-House market transactions with POA) (Rs. 40/- per ISIN for In-House market transactions Without POA) | (Rs. 20/- per ISIN for In-House market transactions with POA) (Rs. 40/- per ISIN for In-House market transactions Without POA) |
| | (Rs. 45/- per ISIN for IDP Transactions | (Rs. 45/- per ISIN for IDP Transactions | (Rs. 45/- per ISIN for IDP Transactions |
| | (Rs. 25/- per ISIN for Off Market Transaction | (Rs. 25/- per ISIN for Off Market Transaction | (Rs. 25/- per ISIN for Off Market Transaction |
| C. Pledge | | | |
| Pledging Services (Creation, Closure & Invocation) | Rs. 70/- per Request or 0.02% of the value of securities whichever is higher | Rs. 70/- per Request or 0.02% of the value of securities whichever is higher | Rs. 70/- per Request or 0.02% of the value of securities whichever is higher |
| Margin Pledge / Un Pledge | Rs. 25/- per ISIN for Margin Pledge | Rs. 25/- per ISIN for Margin Pledge | Rs. 25/- per ISIN for Margin Pledge |

Terms & Conditions :

- Annual maintenance charges have to be paid prorates for remaining quarters in advance up to the end of financial year. For corporate clients, the AMC shall be Rs. 1500/- per Financial year. In respect of Individual clients, Account maintenance charges for the 1st quarter from the date of account opening will be Rs. 350/- and no charge for rest of quarters for 1st year. From 2nd year AMC will be mentioned above.
- All Charges mentioned above are inclusive of CDSL charges.
- All Charges mentioned above are inclusive of Service tax.
- The above charges are subject to changes with 30 days prior notice. However, in case of revision of charge by CDSL, a shorter notice may be given.
- All instructions for transfer must be received at least one day before the Execution / Pay in date.
- Same day execution / late instructions will be accepted on "A best effort basis" at the sole risk and responsibility of the depository account holder(s).
- The depository services may be temporarily discontinued if the cheque given for availing DP services is returned unpaid. Intimation of discontinuation of the DP services shall be in accordance with the rules specified by CDSL. The DP services shall be resumed after recovery of the returned cheque plus Rs. 100/- as additional charge.
- All pledging Services (creation, closure and invocation) shall be in separately charged at the time of each transaction.
- Value of securities will be in accordance with the rates provided by CDSL.
- Non periodical Statements will be charged at Rs. 50/- per Statement.
- BSDA-1 and BSDA-2 scheme Clients will get Holding Statements annually and Transaction Statement Quarterly (If there is no transaction during the quarter. NIL transaction statement will not be provided.) Non periodical Statements will be charged to BSDA-1 and BSDA-2 scheme Clients at Rs. 25/- per Statement.
- In Case of Late Instructions, Rs. 50/- per entry will be charged additionally.
- An amount of Rs. 100/- Shall be Charged, if DIS request is received on plain paper and DIS booklet is reported lost.
- Charges quoted above are for the services listed. Any service not quoted above will be charged separately.

DECLARATION : I/We hereby select Scheme A ☐ B ☐ C ☐ to open/change in my Demat Account. I/We further declare and abide my/our self from the above charges schedule and respective terms and conditions relating to the account.

| | | | | | | | | | | | | | | | | | | | |
|---------|---|---|---|---|---|---|---|---|---|---|--|--|--|--|--|--|--|--|--|
| BO ID : | 1 | 2 | 0 | 3 | 3 | 8 | 0 | 0 | 0 | 0 | | | | | | | | | |
|---------|---|---|---|---|---|---|---|---|---|---|--|--|--|--|--|--|--|--|--|

☒ Sole / First Holder

☒ Second Holder

☒ Third Holder

MANDATE FOR MAINTAINING THE ACCOUNT ON RUNNING ACCOUNT BASIS

To,
INNOVATE SECURITIES PVT. LTD.
1st Floor, "Devashish",
39, Sardar Patel Nagar, Nr. Nest Hotel,
Navrangpura, Ahmedabad - 380 006.

Dear Sir,

Notwithstanding anything contrary contained in any of the document or correspondence, I hereby severally give mandate to you for maintenance account with you on running account basis. This mandate shall be applicable to all segments across exchanges maintained with you including Mutual Fund availed through NSE MFSS and / or BSE STAR MF or such other platform and without limitation to securities/funds/currencies/units of mutual funds.

This mandate is voluntarily given by me/us as it is cumbersome for me to settle the accounts with you frequently. This will facilitate me in my transaction through you. I also request you to consider the balances in my funds, securities mutual fund units and currency account with you for the purpose margins/any other obligations due to you.

In view of the above it would be proper for you to release the funds, mutual funds, mutual fund units and securities due to me on my specific request, either written/oral. You may debit the charges of holding units/securities to my account with you.

Further, I, authorise INNOVATE SECURITIES PVT. LTD. to retain such amount of funds payable to me, not exceeding Rs.10,000/- (Rupees ten thousand only) debit any monthly/quarterly settlement of my account. I, Further agree that my account shall be deemed to have been settled as per SEBI/Exchange guidelines for respective quarter notwithstanding the said retention by INNOVATE SECURITIES PVT. LTD.

I hereby agree to settle my funds/securities/mutual funds account *Monthly/Quarterly basis as per SEBI guidelines. Further, I hereby declare retain the right to revoke this authorization at any time.

Yours Faithfully

Date : _____



Client's Signature

Place : _____

* Kindly tick relevant option. If not stuck off, the option will be considered as "Quarterly".

UNDERTAKING FOR E-MAIL ID / MOBILE NUMBER FOR TRADING & DEMAT

I/We request you to add below mention Email ID / Mobile Number in my Demat Account with you. Kindly provide the Statement of Account (SOA) including transaction Statement and holding statement through email.

Please tick as per applicability.

| | | |
|--------------------------|----------------------|---|
| <input type="checkbox"/> | E-mail ID | I request you to update my E-mail ID as below in my Demat account for all future communication. |
| | E-mail ID | |
| <input type="checkbox"/> | Mobile Number | I request you to update my Mobile Number as below in my Demat account for all future communication. |
| | Mobile Number | |

I declare that all the above information is true and all future demat account communication can be sent on above E-mail ID / Mobile Number.

I hereby declare that the aforesaid E-mail ID belongs to ☐ Me or ☐ My family (spouse, dependent children and dependent parents). Relationship with the applicant :

I hereby declare that the aforesaid Mobile No. belongs to ☐ Me or ☐ My family (spouse, dependent children and dependent parents). Relationship with the applicant :



INNOVATE SECURITIES PVT. LTD. (DP ID 12033800)

Regd.: 1st Floor, "Devashish", 39, Sardar Patel Nagar, Nr. Nest Hotel, Navrangpura,
Ahmedabad - 380 006. Phone No.: 079 - 26474500, 26401004, 26421314 / 15. Fax : 079 - 26423759.
Web.: www.innovatesec.com E-mail : innovate95@rediffmail.com

FATCA - CRS Declaration & Supplementary KYC Information Declaration Form for Individuals

| | | | | | | | | | | | |
|--|--|--|--|--|--|---|--|--|--|--|--|
| PAN No.: | | | | | | | | | | | |
| Name : | | | | | | | | | | | |
| Address Type [for KYC address] | <input type="checkbox"/> Residential | | | | | <input type="checkbox"/> Residential / Business | | | | | |
| | <input type="checkbox"/> Business | | | | | <input type="checkbox"/> Registered Office | | | | | |
| Place of Birth | | | | | | Country of Birth | | | | | |
| Gross Annual Income Details in INR | <input type="checkbox"/> Below 1 Lakh <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> 25 Lacs - 1 Cr <input type="checkbox"/> > 1 Cr | | | | | Occupation Details [Please tick any one (✓)] | <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Public Sector <input type="checkbox"/> Private Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Other [Please Specify] | | | | |
| Net Worth in +INR in Lacs | | | | | | | | | | | |
| Net Worth Date | | | | | | | | | | | |
| Politically Exposed Person [PEP] | <input type="checkbox"/> Yes <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not Applicable | | | | | Any Other Information | | | | | |

Is your Country of Tax Residency other than India - ☐ Yes ☐ No

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

| Sr. No. | Country of Tax Residency # | Tax Payer Identification Number / Functional Equivalent | Identification Type |
|---------|----------------------------|--|---------------------|
| 1. | | | |
| 2. | | | |
| 3. | | | |

to include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective Countries especially of USA

DECLARATION :

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In Case any of the above specified information is found to be false or untrue of misleading or misrepresenting. I/am aware that I may liable for it. I hereby authorized you [CAMS / Fund / AMC] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me to / any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial intelligence Unit - India (FIU-IND), tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same Further, I authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide authorities. I/we authorize Fund / AMC / RTA to provide relevant information to upstream payers to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. I understand that you do not offer any tax advise on CRS/FATCA or its impact on me/us. I/we shall seek advise from professional tax adviser for any tax questions.



INNOVATE SECURITIES PVT. LTD. (DP ID 12033800)

Regd.: 1st Floor, "Devashish", 39, Sardar Patel Nagar, Nr. Nest Hotel, Navrangpura,
Ahmedabad - 380 006. Phone No.: 079 - 26474500, 26401004, 26421314 / 15. Fax : 079 - 26423759.
Web.: www.innovatesec.com E-mail : innovate95@rediffmail.com

SELF CERTIFICATION

Are you US Person : ☐ Yes ☐ No

To be Filled only if :

- a] Your country of Birth / Country of tax residency is other than India.
b] US Person is mentioned herein as Yes and TIN is not available.

I confirm that I am neither a US person not a resident for Tax purpose in any Country other than India, through one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following documents as proof of my citizenship and residency in India.

Documents submit : (please tick document being submitted - self certified copy)

- ☐ Passport ☐ Election Card ☐ PAN Card ☐ Driving Licence ☐ UIDAI / Adhar Card / Letter
☐ Government issued ID and ☐ Other (please specify)

Document Identification No.:

I/We agree that as may be required by domestic regulatory(ies), you may also be required to report, reportable details to CBDT or any other authorities in India or close or suspend my / our account.

I/we agree to submit a new form within 30 days if any information / Certification on this form becomes incorrect.



Client's Signature

Date : _____

Place : _____

DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)

TO ALL TO WHOM THESE PRESENTS SHALL COME TO ALL TO WHOM THESE PRESENTS SHALL COME I / WE _____













_____(Name of the BO, with full address) _____

_____ Indian inhabitant / Non-resident hold a Beneficiary account No.

| | | | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|--|--|--|--|--|--|--|--|--|--|
| 1 | 2 | 0 | 3 | 3 | 8 | 0 | 0 | 0 | 0 | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|--|--|--|--|--|--|--|--|--|--|

With Central Depository Services (India) Limited, With **INNOVATE SECURITIES PVT. LTD. (ISPL)** (a Depository Participant with CDSL bearing **DP-ID 12033800** & SEBI registered stock broker having **SEBI Registration No. INZ000224735** here by authorize **INNOVATE SECURITIES PVT. LTD. (ISPL)**, having its registered / Corporate office at 1st Floor, "Devashish", 39, Sardar Patel Nagar, Nr. Nest Hotel, Ellisbridge, Ahmedabad - 380006 and or any of its officers or employees or any sub agents as may be delegated by said DP to carry out following exercises for me / us and on my / our behalf and in my / our name from time to time until revoked by me / us in writing given to ISPL.

ANNEXURE - A

| Sr. No. | PURPOSE | Signature (Physical Signature or e-Sign) |
|---------|--|--|
| 1. | Transfer of securities held in the my beneficial owner account towards stock exchange related deliveries /settlement obligation arising out of trades executed by me/us on the Stock Exchange. | 1st Holder Name :  Sign. 2nd Holder Name :  Sign. 3rd Holder Name :  Sign. |
| 2. | Pledging of securities in favour of ISPL to the respective margin pledge accounts of as mentioned in Annexure-B below and re-pledging of securities by ISPL to clearing corporations for the purpose of meeting my margin requirements in connection with the trades Executed by me/us on the stock exchanges in any segments. | 1st Holder Name :  Sign. 2nd Holder Name :  Sign. 3rd Holder Name :  Sign. |
| 3. | Mutual Fund transactions being executed on Stock Exchange order entry platforms as mentioned in Annexure - B as below. | 1st Holder Name :  Sign. 2nd Holder Name :  Sign. 3rd Holder Name :  Sign. |
| 4. | Tendering shares in open offers through Stock Exchange platforms to the respective accounts of ISPL as mentioned in annexure - B below. | 1st Holder Name :  Sign. 2nd Holder Name :  Sign. 3rd Holder Name :  Sign. |

Note : This authorization will continue to remain valid until revoked in writing by you (Pursuant to SEBI Circular No. **SEBI/HO/MIRSD/DoP/P/CIR/2022/44** Dated April 04, 2022)

List of Demat Account

| Description of Demat Account | Demat Account No. |
|--|----------------------|
| BSE : CM Pool A/c - CDSL | 1203380000120519 |
| CM Early Pay-In A/c - CDSL | 1100001000020803 |
| CM Pool A/c - NSDL | IN661085 - 10634812 |
| NSE : CM Pool A/c - CDSL | 1203380000000664 |
| CM Early Pay-In A/c - CDSL | 1100001100015713 |
| CM Pool A/c - NSDL | IN564414 - 10465588 |
| Corporate - TM/CM/CPMA - CDSL | 1203380000188162 |
| TM/CM Client Securities Margin Pledge Account - NSDL | IN303052 - 10866713 |
| Client Unpaid Securities Pledge Account - NSDL | IN 303052 - 10868753 |
| Client Unpaid Securities Pledge Account - CDSL | 1203380000207374 |
| BSE House Account - Mutual Fund Redemption | 11000029 00000011 |
| NSE House Account - Mutual Fund Redemption | 11000011 00017837 |

In Presence of (Witness Name)

Witness Signature



Address : _____

In Case of HUF

Name of Co-Parceners

Signature(s)

1) _____



2) _____



3) _____



4) _____



Date : ____ / ____ / ____

Place : _____

I / We Accept

(For Innovate Securities Pvt. Ltd.) 1st Floor, "Devashish" 39, Sardar Patel Nagar, Ellisbridge, Ahmedabad - 380 006.

AMAR M. PARIKH

(Director)

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL [SMS Alerts will be sent by CDSL to Bos for all debits]

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, P.J. 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.

X


First Holder's Signature

X


Second Holder's Signature

X


Third Holder's Signature

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 ISIN at a time. If more than four debits take place, the Bo's would be required to take up the matter with their DP.

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

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

BOID :

| | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|--|--|--|--|--|--|--|--|
| 1 | 2 | 0 | 3 | 3 | 8 | 0 | 0 | 0 | 0 | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|--|--|--|--|--|--|--|--|

(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)

| | | |
|--|--|--|
| X  | X  | X  |
|--|--|--|

First Holder's Signature

Second Holder's Signature

Third Holder's Signature

18 Place :

Date :