

# Tradeswift

THE EQUITY & COMMODITY BROKERS



MEMBER : NSE, BSE, CDSL, MCX, NCDEX



## Registration Kit - Individual

☐ Equities ☐ Commodities ☐ Currencies ☐ Mutual Funds ☐ Demat Account

Client Name															
Client Code						Location									
Branch Code						Reference No.									
Demat A/c no.	1	2	0	6	5	9	0	0							

 Equities  Commodities  Currencies  Demat  IPOs  Mutual Funds  Research  Mobile Trading  Algo Trading

4<sup>th</sup> Floor, Baid House, 1, Tara Nagar, Nr. Civil Lines Metro Stn., Ajmer Road, Jaipur - 302006 (Raj.)

0141-4050505 / 2221234 | [contact@tradeswift.net](mailto:contact@tradeswift.net) | [www.tradeswift.net](http://www.tradeswift.net) | 9460450505 | Find us on      

**DOCUMENT CHECK LIST - INDIVIDUALS**

- ☐ A passport size photograph (Self Attested)  
☐ Photocopy of PAN Card  
☐ Proof of Bank Account :  
     ☐ Personalised Crossed Chq.      ☐ Certified Bank Statement (not more than 3 months old)  
☐ Proof of Demat Account : Client Masters  
☐ Identity Proof - Photocopy of any of the following (Self attested)  
     ☐ Passport   ☐ Voter ID Card   ☐ Driving Licence   ☐ Aadhaar Card  
☐ Address Proof - Photocopy of any of the following (Self attested)  
     ☐ Passport   ☐ Ration Card   ☐ Voter ID Card   ☐ Driving Licence   ☐ Bank Passbook / Bank Statement (not more than 4 months old)  
     ☐ Electricity, Water, Landline Telephone Bill (MTNL/ BSNL) (not more than 2 months old)  
☐ MINOR :  
     ☐ All documents as per Common list for both Minor and his/her Guardian.      ☐ Undertaking letter signed by the Guardian.  
     ☐ Recent Passport size Photo of both Minor and Guardian

**INDEX****MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES**

S. NO.	PARTICULARS	BRIEF SIGNIFICANCE OF THE DOCUMENT	PAGE NO.
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to demat and trading account and an instruction/check list.	1-6
2	Tariff sheet	Document detailing the rate/amount of brokerage & other charges levied on the client for trading on stock / commodity exchange(s) & DP Service charges/Fee Structure	7
3	Policies and Procedures	Document describing significant policies and procedures of the stock broker	Separate Copy For Client
4	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker /Authorised Person and client for trading on exchange (including additional rights & obligations in case of internet/wireless technology based trading).	
5	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
6	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
7	Rights & Obligations of Beneficial Owners & Depository Participants	Document stating the Rights & Obligations of Beneficial Owners and Depository Participants.	

**VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER**

8	Letter of Authority	Voluntary Authorisation to Stock Broker	8-10
9	Application for approval for Authorised User Id	Voluntary Application for issuance of Trading User ID.	11
10	SMS Alert Facility / TRUST / Easi	Terms & Conditions for SMS/Trust/Easi facility for DP A/c	11-14
11	Power of Attorney - Equities	POA provided by BO to Tradeswift for settlement / Margin purpose	15-16

**FOR OFFICE USE ONLY****CLIENT INTERVIEWED BY EMPLOYEE / AUTHORISED PERSON / SUB-BROKER**

Name					Designation			
Signature					Date			
Original Documents Verified By					Authorised By			
UCC Allotted					UCC Uploaded By			
Uploaded to	<input type="checkbox"/> NSE EQ	<input type="checkbox"/> NSE F&O	<input type="checkbox"/> NSE-CDS	<input type="checkbox"/> BSE EQ	<input type="checkbox"/> BSE F&O	<input type="checkbox"/> MCX	<input type="checkbox"/> NCDEX	
Update 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.

Signature of the Authorised Signatory

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

Seal/Stamp of the stock broker

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. General Instructions

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 below list 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 addresses 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 absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/ Passport of Minor/Birth Certificate must be provided.
11. Politically exposed persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country e.g., Head of State or of Government, senior politician, senior government / judiciary / military officer, senior executive of state owned corporation, important political party official, etc.

### B. Proof of Identity (POI)

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government 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)

1. PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
2. Others includes – Utility bill which is not more than 3 months old of any service

provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India

3. Identity card with applicant's photograph and address issued by any of the following: Central/ State Government 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.
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/or apostilled or consularized) that gives registered address should be taken.
6. Proof of address in name of spouse may be accepted.
7. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
8. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card

### D. Exemptions/Clarifications to PAN (\*Sufficient documentary evidence in support of such claims to be collected)

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

### E. List of people authorized to attest the documents

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. 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.

## OTHER INSTRUCTIONS

1. Please fill up the form in Capital letters.
2. Spelling of name in the form should be same as in the Identity proof and address proof
3. Please initial where ever overwriting is done.
4. KYC Form shall be signed by the client and must be filled by his own hand.
5. Introducer should also provide the proof of his identity / Address by submitting any of the documents provided in point B & C.
6. Client shall compulsory provide evidence of financial details from any of the following documents
  - Balance Sheet ■ Copy of Income Tax Return ■ Fixed Deposit ■ Demat Holding ■ Salary Certificate (in case of employee of reputed company)
7. It is mandatory to provide the following details :
  - (i) Pin Code (ii) Mobile No. (iii) Father & Spouse Name (iv) MICR & IFSC Code of Bank
8. Witness is mandatory where ever is required.
9. If any information required to be given does not fit in the form, separate sheet may be used.
10. Each client has to use one registration form. In case of joint names/family members, please submit separate form for each person.
11. Information provided shall be kept confidential and the same shall not be disclosed to any person/entity except as required under the law.
12. Original documents as mentioned above are required for verification at the time of registration.

**Know Your Client (KYC)**  
**APPLICATION FORM (FOR INDIVIDUALS ONLY)**

Please fill in ENGLISH and in BLOCK LETTERS



**Tradeswift**  
 THE COMMODITY & EQUITY BROKERS

Application No.:

**Application Type**    ☐ New KYC    ☐ Modification KYC

**Identity Details**

<b>Name of Applicant</b>			
<b>Father's / Spouse Name</b>			
<b>Gender</b>	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	<b>Marital Status</b>	<input type="checkbox"/> Single <input type="checkbox"/> Married
<b>Date of Birth</b>	DD / MM / YYYY	<b>Nationality</b>	<input type="checkbox"/> Indian <input type="checkbox"/> Other _____
<b>Status</b>	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National (Passport copy for NRIs & Foreign Nationals)		
<b>PAN No.</b>		<b>Aadhaar No.</b>	
<b>Proof of Identity submitted</b>	<input type="checkbox"/> Aadhaar Card <input type="checkbox"/> Passport <input type="checkbox"/> Voter ID <input type="checkbox"/> Driving Licence <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> NPR <input type="checkbox"/> Other _____		

PHOTOGRAPH

Please affix  
the recent passport  
size photograph and  
sign across it

**Address Details**

<b>A. Address for Residence / Correspondence</b>			
City/ Town / Village		PIN Code	
State		Country	
<b>B. Permanent Address</b> (if different from above correspondence address)			
City/ Town / Village		PIN Code	
State		Country	

**Proof of address to be submitted**

☐ Passport    ☐ Ration Card    ☐ Registered Lease /Sale Agreement of Residence    ☐ Driving Licence    ☐ Voter Identity Card  
☐ Aadhaar    ☐ \* Latest Telephone Bill (only Land line)    ☐ \* Latest Electricity Bill    ☐ \* Latest Bank A/c Statement / Passbook  
☐ NREGA Job Card    ☐ NPR Letter    ☐ Other (please specify) \_\_\_\_\_

\* Not more than 3 Months old.

**Contact Details**

<b>Email id</b>			
<b>Mobile No.</b>			
<b>Tel. (off.)</b>		<b>Tel. (Res.)</b>	

**DECLARATION**

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge 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/we are aware that I/we may be held liable for it.

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



**Signature of Applicant**

**FOR OFFICE USE ONLY**

<b>Details of Employee</b>	<b>Documents verified with Originals</b>	<b>Client Interviewed By &amp; In-Person Verification done by</b>	Seal / Stamp of the Intermediary
Name			
Designation			
Date	DD / MM / YYYY	DD / MM / YYYY	
Signature			

**ADDITIONAL KYC - FOR INDIVIDUALS****Tradeswift Broking Pvt. Ltd.**

4th Floor, Baid House, 1, Tara Nagar, Ajmer Road, Jaipur-302006 DP ID: 12065900 and DP SEBI Reg. No.: IN-DP-CDSL-563-2010

To be filled by the Depository Participant

<b>Application No.</b>					<b>Date</b>	D	D	M	M	Y	Y	Y	Y	<b>DP Internal Reference No.</b>				
<b>DP ID</b>	1	2	0	6	5	9	0	0	<b>Client ID</b>									

To be fill by th 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 / GUARDIAN DETAILS (In case the account holder is minor)**Holder's Details ☐ Guardian's Details ☐

<b>Sole / First Holder's Name</b>																			
<b>Mother's Name</b>																			
<b>Guardian's Name</b> (In case the account holder is minor)																			
<b>Relationship with the applicant</b> (In case the account holder is minor)																			
<b>Address for Correspondence</b>																			
<b>City/ Town / Village</b>										<b>PIN Code</b>									
<b>State</b>					<b>Country</b>					<b>Alternate Mobile No.</b>									
<b>PAN</b> (Guardian)										<b>PHOTOGRAPH of Second Holder's or Guardian's</b>					<b>PHOTOGRAPH of Third Holder's</b>				
<b>UID</b> (Guardian)										<b>Please Affix Recent Passport Size Photograph &amp; Sign Across It</b>					<b>Please Affix Recent Passport Size Photograph &amp; Sign Across It</b>				
<b>UCC</b>																			
<b>Exchange Name &amp; ID</b>																			
<b>Second Holder's Name</b>																			
<b>PAN</b>					<b>UID</b>														
<b>Third Holder's Name</b>																			
<b>PAN</b>					<b>UID</b>														

Second Holder's  
or Guardian's (In case the  
account holder is minor)

Third Holder's

**Name \***

\* In Case of Firms, Association of Persons (AOP), Partnerships 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"/> Minor	<input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTRA) <input type="checkbox"/> Others (Specify) _____	<input type="checkbox"/> Individual - Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Negative Nomination
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI - Non-Repatriable	<input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Non-Repatriable Promoter	<input type="checkbox"/> NRI - Depository Receipts <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) _____

## OTHER DETAILS

I/We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')		<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to instruct the DP to accept all the pledge instruction 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
Send Electronic Transaction-cum-Holding Statement at the email id _____		<input type="checkbox"/> Yes <input type="checkbox"/> No
Receive Annual Report	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical <input type="checkbox"/> Both	Share Email ID with Registrar & Transfer Agent <input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement	<input type="checkbox"/> Monthly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Weekly <input type="checkbox"/> As per SEBI Regulations	
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) _____		
Specify your Email id _____		

Note : Dividend / Interest will be credited to bank account via ECS.

## 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"/> Others (specify)_____								
Bank Name					Branch Name				
Bank Branch Address									
	City			State			Country		PIN

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 (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

## INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002

Gross Annual Income ( ₹ in Lacs)	<input type="checkbox"/> < 1	<input type="checkbox"/> 1 to 5	<input type="checkbox"/> 5 to 10	<input type="checkbox"/> 10 to 25	<input type="checkbox"/> > 25
Net Worth as on (date) should not be older than 1 year	DD MM YYYY		Net Worth (Amount)	₹ in lacs	
Occupation	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government 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"/> Others (Specify)_____				
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)				
Number of years of Investment/Trading Experience _____					
Client Categorization for Commodities	<input type="checkbox"/> Farmer / FPO <input type="checkbox"/> Value chain participant (VCP) <input type="checkbox"/> Domestic financial institutional investor <input type="checkbox"/> Foreign Participant <input type="checkbox"/> Proprietary Trader <input type="checkbox"/> Others _____				

## 🔑 TRADING PREFERENCE

Exchange	Segments	Client Signature	Exchange	Segments	Client Signature
NSE / BSE	Cash / Mutual Fund	👉	NSE / BSE / MSEI	Currency	👉
NSE / BSE	F&O	👉	NSE / BSE	Debt	👉
NCDEX	Commodities	👉	MCX	Commodities	👉

# If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.



**DEPOSITORY ACCOUNT DETAILS (Please use additional sheet if required)**

DP Name	Depository Name (NSDL / CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
Tradeswift Broking Pvt. Ltd.	CDSL		12065900	

I authorize to transfer the shares purchased by me to the above demat beneficiary account I am agreeable to enter into an agreement and to do abide by your terms & conditions.

**GST REGISTRATION DETAILS**

\* please attach copy of GST certificate

GST Registration No.	Trade Name as per GST certificate	Address of principal place of business

**DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS**

Sub-broker's Name		SEBI Reg. No.	
Reg. Off. Address			
Phone		FAX	
		Website	
Name of Stock Broker		SEBI Reg. No.	
Client Code	Exchange		Details of disputes/dues pending from/to such stock broker / sub-broker

**INTRODUCER DETAILS**




Name		Account No.	
Address			
City	State	Country	PIN
Tel. No.	Mobile No.	Relationship with TM	
ID Proof	Date of Issue		Place of Issue

Signature of Introducer **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: .....

**DECLARATION**

- 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.
- 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 read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
- 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, [www.tradeswift.net](http://www.tradeswift.net)

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature			

(Signatures should be preferably in black ink).





## Declaration Form for opting out of Nomination




Tradeswift Broking Pvt Ltd

4<sup>th</sup> Floor, Baid House, 1, Tara Nagar, Nr. Civil Lines Metro Stn., Ajmer Road, Jaipur - 302006 (Raj.)

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

UCC/DP ID	1	2	0	6	5	9	0	0
Client ID (only for Demat account)								
Sole/First Holder Name								
Second Holder Name								
Third Holder Name								

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

	Sole / First Holder	Second Holder	Third Holder
Name			
Signature*			

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

## BROKERAGE DETAILS

Date	Equity Delivery (%)	Equity Intra Day (%)	Min. Brokerage (per share)	Index & Stock Futures (%)	Options		Currency		Commodities Futures (%)	Commodities Options
					Index	Stock	Futures	Options		

- Notes:
1. Brokerage levied to your trading account shall be higher of brokerage value as per the existing slab or Rs 20/- Per settlement.
  2. Inter-settlement / Delivery charges towards debit transactions of client shares Rs 15/- per ISIN would be applicable.
  3. Clearing member charges and other charges will be charged separately in the bill.
  4. Tradeswift Broking Pvt. Ltd, reserves the right to increase the tariff charges from time to time at its sole discretion, under 30 days prior intimation to clients either by the way of ordinary post or by email, SMS and by notification on the back office interface.
  5. Other statutory levies will be charged as per the rates applicable from time to time.

## CHARGES FOR DEPOSITORY SERVICES

Option	AMC TYPE	AMC (₹)	Debit Transaction (% of value)	Min./Max Charge per Debit ISIN	Pledge*** (creation & closure)	Early Pay-in Charges per ISIN	Dematerialization (per Certificate)	Rematerialization (per Certificate)	DIS (per book)	Instruction Fail Charges
<input type="checkbox"/> A	Free*#	0	0.04	₹15 / ₹150	₹ 50	₹ 15	₹ 25 <sup>^</sup>	₹ 25	₹ 20	₹ 15
<input type="checkbox"/> B	Yearly <sup>§</sup>	250	0.02	₹15 / ₹150	₹ 50	₹ 15	₹ 25 <sup>^</sup>	₹ 25	₹ 20	₹ 15
<input type="checkbox"/> C	Life Time**	850	0.02	₹15 / ₹150	₹ 50	₹ 15	₹ 25 <sup>^</sup>	₹ 25	₹ 20	₹ 15
<input type="checkbox"/> D	BSDA	as per SEBI rules	0.05	₹75 / ₹150	₹ 75	₹ 75	₹ 75 <sup>^</sup>	₹ 100	₹ 50	₹ 75

\* Switch Charges (Option A to Option B - ₹ 450, Option A to Option C - ₹1000, Option B to Option C - ₹600 ) | # AMC@250 will be applicable after 1<sup>st</sup> Year.




\*\*One Time Maintenance Charge is for 8 Years. | § Account maintenance charges applicable for 1st quarter of the year rest 3 quarters are free.

<sup>^</sup>Min ₹100 per DRF for normal scheme accounts and Min ₹ 200 for BSDA scheme accounts. | \*\*\* Includes margin pledge & re-pledge

## OTHER TERMS

1. Account maintenance charges for Corporate accounts shall be ₹750/- for 1st quarter of the year rest 3 quarters are free. One Time AMC option is not applicable for Corporate accounts.
2. The Depository participant shall reserve the right to revise the charged by giving not less than 30 days notice in writing to the client.
3. Value of Transaction will be applicable in accordance with the Depository formulae.
4. Modification in client detail will be charged at ₹25/- per instance.
5. Any service not listed above will be charged extra.
6. Off-Market Instruction not received prior to 24 hours of execution will be received at client's risk. However no extra charges will be levied.
7. Instructions for pay-in of securities to transfer securities from client account to CM pool account will be accepted up to 4 PM on the working day prior to pay-in-date.
8. Non-periodic statement shall be charged @ ₹5/- per page and postage /courier @ ₹25/- per mail.
9. In case of non-payment of bill/dues within 30 days of due date, interest shall be charged @1.5% per month on the outstanding dues. The depository services are liable to be discontinued on such default.
10. The BO authorises "Tradeswift Broking Pvt. Ltd." for recovering the depository services bills from his/its undermentioned trading accounts / trading code.
11. Courier charges for dematerialization will be charged @ min ₹150/- per request or actual charges incurred by us.
12. Demat rejection charges are ₹250 per rejection for normal scheme and ₹ 200 for BSDA accounts.
13. Transaction and Holding Statements will be sent digitally.
14. The above is subject to taxes and duties as applicable as per Government Rules.
15. Stamp charges for Power of Attorney & Fax Indemnity will be charged as applicable.
16. GST as per prevailing rates will be applicable on all charges.
17. I wish to opt for ☐ BSDA account ☐ Non-BSDA (normal Tariff) account.

Client Code : \_\_\_\_\_

	First / Sole Holder	Second Holder	Third Holder
Signature			

Whereas the client intends to open securities trading accounts with **Tradeswift Broking Pvt. Ltd.** for the purpose of trading in Capital Market Segment, Futures & Options and Currency Derivative Segments of the National Stock Exchange of India Ltd., the Bombay Stock Exchange Ltd., and the Metropolitan Stock Exchange of India Ltd. and Commodity Derivatives Segment of Multi Commodity Exchange Ltd. & National Commodity & Derivatives Exchange Ltd. and Mutual Fund transactions Facilities offered by SEBI recognized Stock Exchange and whereas for the purpose of more fully and conveniently availing of the services agreed to be provided by Tradeswift Broking Pvt. Ltd. and also the additional services that may be made available by Tradeswift Broking Pvt. Ltd. from time to time, the Client, on its own free will and volition, agrees to accept and be bound by the following terms and conditions. The Client understands that these terms and conditions are voluntary i.e., non-mandatory in nature but on their acceptance, these shall constitute the contract between the parties and bind them fully and be enforceable by each party against the other.

**1. Set off of outstanding:** I/We authorize you to set off outstanding in any of my/our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange and/or against the value of cash margin or collateral shares provided to you by me/us.

**2.** I/We request you to retain credit balance in any of my/our account and to use the unused funds towards my/our margin/future obligations at any or both the Exchanges unless I/We instruct you otherwise. I/We also authorize you to debit the necessary demat charges from time to time, for keeping the shares in your CUSA on my behalf. I/We also authorise you to debit the financial charges @ 2% p.m. for the debit balances if any, in my account and not settled as per the exchange requirements.

I/We further authorize the stock broker as per the requirement of SEBI Circular no. MIRSD/ SE /Cir-19/2009 dated December 3, 2009 that in case of any outstanding obligations on the settlement date, the stock broker may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

**3. Telephonic Conversation:** I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contract Notes issued by you.

**4. Electronic Mode of delivery:** I /we understand that you are issuing digitally signed account statements / contract notes/ other relevant documents through Email. I/We also understand that these digital contract notes are valid legal contracts as per stock / commodity/ other exchanges / SEBI rules and recognized under income tax act, as well as other acts in India. Hence it would not be binding on you to issue us physically signed documents / contract

notes to us I/We wish to inform you that we would like to avail this facility a In this regard we state the following.

A) The electronic delivery of digital contract note/ Account Statement/ other relevant documents shall be an accepted form of communication /notification sent by you.

B) The above mentioned documents in digital form should be sent to my/our following E-mail id \_\_\_\_\_

C) The despatch of above digital documents from your end shall constitute delivery of the same and it shall be my/our responsibility to check the Email for the same.

D) Discrepancies, if any shall be brought to your notice immediately after receiving of the digital documents failing which all the information sent by you can be considered to be correct, accepted and acknowledged by me /us.

E) I/We will completely rely on the E-mail logs and reports with reference to the delivery of the digital documents.

F) I/We stress that I/we will not hold you responsible under any circumstances in the event of an E-mail which you send gets bounced due to any reason such as mail box being full, inactive account or due to any technical reason beyond your control.

G) I/we understand that non-receipt of mail bounce back notification shall amount to delivery of the digital documents sent to me/us.

**5. Log Report:** I/We will completely rely on the log reports of your dispatching software as a conclusive proof of dispatch of E-mail to me/us and will not dispute the same.

**6. Change in E-mail Id:** I/We will inform you any change in my E-mail, if any, in future, in physical mode by regd. post or by hand delivery and through a digitally signed E-mail.

**7. Hold of funds Pay outs:** I/We am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.

**8. Fines & Penalties:** All fines/penalties and changes levied upon you due to my/our acts / deeds or transactions may be recovered by you from my/our account.

**9. Mutual Fund Service System Facility / BSE Star MF:** Client is registered with Tradeswift Broking Pvt. Ltd. and has executed Know Your Form and certain other documents for the purpose of trading in securities market on the recognized Stock Exchange (herein after referred as "Exchange"). Incase client opts for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the SEBI recognized Stock Exchanges (Mutual Fund Transaction Facilities). Know Your Client details as submitted by the client for the stock broking shall be considered for the purpose of Mutual fund transaction facilities and abide by the terms and conditions as mentioned in the circulars as may be specified by the Exchanges from time to time in this regard. Client shall also ensure compliance with the requirements as may be specified from time to time by Securities

and Exchange Board of India and Association of Mutual Funds of India (AMFI). Client shall read & understand the contents of the Scheme Information Document and Key Information Memorandum, addendum issued regarding each Mutual Fund Schemes with respect to which client choose to subscribe / redeem. Client further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes. Client confirm to have read & understood the terms & conditions for using Mutual Fund transaction facility as stated in KYC handout (customer copy)

**10. Authorisation for Running Account : A.** I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.

**B.** I/We request you to settle my fund account ☐ Once in every calendar Quarter ☐ Once in a calendar Month or such other higher period as allowed by SEBI / Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.

**C.** In case I/We have an outstanding obligation on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

**D.** I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 30 days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.

**E.** I Understand that this running account authorisation can be revoked at any point of time by me.

**11. Authorisation for Electronic Contract Notes/ Other Periodic Communications:** I/We have been/shall be dealing through you as my/our broker on the Capital Market/Futures & Options Segments and Commodity & Currency Derivative Segments . As my/our broker i.e. agent I/We direct and authorize you to carry out trading/dealings on my/our behalf as per instructions given below.

I/We understand that, I/We have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/We hereby opt for receipt of contract notes in electronic form. I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account(s)/email id on your record for sending the contract notes to me/us. You may also send other periodic communications in electronic form on the following email IDs.

1. \_\_\_\_\_
2. \_\_\_\_\_

I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s)/ email

id(s).

I/We agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc. I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt/delayed receipt for any reason whatsoever.

I/We understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I/We am/are an internet client then in that event the request for change in email id/email account can be made by me/us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my/our verbal directions/authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

**12. Declaration of Mobile and Email id** (as per communique no. CDSL/OPS/DP/POLCY/1539)

I, \_\_\_\_\_ having PAN \_\_\_\_\_ do hereby declare that Mobile No. \_\_\_\_\_ & Email id \_\_\_\_\_ provided by me belongs to \_\_\_\_\_ and relation\* between the owner of Mobile No. and Email id is \_\_\_\_\_. Further I authorize Tradeswift Broking Pvt. Ltd. That the same may be used for giving me any information/alert/trade confirmation SMS/Call.

Any Change in the above mentioned Mobile No. and Email id will be informed by me in writing. I further declare that the above mentioned statement is true and correct.

\*Self, Spouse, dependent children, dependent parents & authorized person of non-individual account

**13. Client Defaulter Declaration:**

I, \_\_\_\_\_ having PAN no. \_\_\_\_\_ do hereby declare that I have not been involved in any terrorist activity and I have not been declared as defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchanges/ Regulatory bodies/CIBIL (Credit Information Bureau of India Ltd.) etc.

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

**14. Authorization to debit additional charges with regard to Trading and Demat Account:** Without prejudice to the other rights and obligations of the parties, the client understands and agrees that Tradeswift Broking Pvt. Ltd. may levy additional charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account for any service rendered by Tradeswift Broking Pvt. Ltd. and as may be required by the Client, and recover from the Client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients ledger

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

account with Tradeswift Broking Pvt. Ltd.

**15. Client not to act on representations of agents, employees:** Client is aware that Tradeswift Broking Pvt. Ltd. has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of Tradeswift Broking Pvt. Ltd.

**16. Recording of Conversation:** The client is aware and agrees that Tradeswift Broking Pvt. Ltd. may tape record the conversation between the client/client's representative and Tradeswift Broking Pvt. Ltd., whether over the telephone or in person. Tradeswift Broking Pvt. Ltd. may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversation or transcript thereof or both as valid evidence of the content of the conversation so recorded.

**17. Disclosure as to Proprietary Trades by Tradeswift Broking Pvt. Ltd.:** Tradeswift Broking Pvt. Ltd. may carry out proprietary trades in addition to trades on behalf of its Clients.

**18. Extra Ordinary Events and termination/suspension of trading facility:** Tradeswift Broking Pvt. Ltd. will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication net-work or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond Tradeswift Broking Pvt. Ltd.'s control resulting in nonexecution, partial or incomplete execution of orders and the resulting financial loss, if

any Tradeswift Broking Pvt. Ltd. may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.

**19. घोषणा:**

मैं.....यह घोषणा करता हूँ कि मैंने ट्रेडस्विफ्ट ब्रोकिंग प्रा. लि. में अपना ट्रेडिंग और डीमेट खाता खोला है। उसके लिए एकाउंट ओपनिंग फार्म और विभिन्न कागजात पर हस्ताक्षर किया है जोकि अंग्रेजी भाषा में है। मुझे इसका हिन्दी में मतलब समझा दिया गया है। मैं ट्रेडस्विफ्ट ब्रोकिंग प्रा. लि. के नियम व शर्तों से सहमत हूँ।

\* Strike off the clauses not relevant to you.

Thanking you,

Yours faithfully,

Signature: .....  
8

Date :

**APPLICATION FOR APPROVAL FOR AUTHORISED USER ID**

**VOLUNTARY**

To,  
Tradeswift Broking Pvt Ltd.  
4th floor, Baid House, 1, Tara Nagar, Ajmer Road, Jaipur - 302006

Sub : **Allocation of New User ID** Ref : **Client ID** \_\_\_\_\_ **Dealer ID** \_\_\_\_\_  
Name of Client \_\_\_\_\_ Father's / Husband's Name \_\_\_\_\_  
Date of Birth \_\_\_\_\_ Office Address \_\_\_\_\_  
\_\_\_\_\_ City \_\_\_\_\_ Pin \_\_\_\_\_ State \_\_\_\_\_  
Phone No \_\_\_\_\_ Mobile No. \_\_\_\_\_

Type of ID : - Dealer ID (Multiple Code) / Diet ID (Single Code)

Mode of Connectivity : Internet

Exchange: NSE EQ ☐ NSE FO ☐ BSE EQ ☐ BSE FO ☐ MSEI ☐ MCX ☐ NCDEX ☐

Remark.....

I hereby agree and bind myself to be responsible for all acts, quotations and transaction done, trades made or affected by me on the Trading System.  
I request you to kindly allocate one User ID to me in the aforesaid name at the earliest.

User ID Charges :

Signature: .....  
9

Date :

Place:



## For Demat Account

### SMS Alert Facility / TRUST / Easi

<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure - 2.4</b>	Mobile No. +91 <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"/> [(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).											
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions <b>Annexure- 2.6</b>	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I / We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" data-bbox="414 534 1490 648"> <thead> <tr> <th>Stock Exchange Name / ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>			Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)										
<b>Easi</b>	To register for easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.											

Annexure - 2.6

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

#### 1. Definitions:

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

- "Depository" means Central Depository Services (India) Limited (CDSL)
- TRUST means "Transactions Using Secured Texting" service offered by the Depository.
- "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
- "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
- "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.

2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository

3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.

4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.

5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.

6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the

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

response to the said SMS within the time limit prescribed by CDSL.

**7.** The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.

**8.** The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.

**9.** Bo(s) are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.

**10.** The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.

**11.** The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.

**12.** The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.

**13.** Depository reserves the right to charge such fees from time to

time as it deems fit for providing this service to the BO.

**14.** The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.

**15.** The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.

**16.** The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.

**17. Indemnity:**

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

**18. Disclaimer:**

Depository shall be absolved of any liability in case:-

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



**TERMS AND CONDITIONS-CUM-REGISTRATION / MODIFICATION FORM FOR RECEIVING SMS ALERTS FROM CDSL****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 Marathon Futurex, A-Wing, 25th floor, NM Joshi Marg, Lower Parel, Mumbai 400013 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 accountholders 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](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number

**TERMS AND CONDITIONS-CUM-REGISTRATION / MODIFICATION FORM FOR RECEIVING SMS ALERTS FROM CDSL**

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 with out 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 / MODIFICATION (Please cancel out what is not applicable).

Beneficial Owner ID - Equities	1	2	0	6	5	9	0	0								
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)



## POWER OF ATTORNEY

VOLUNTARY

This Power of attorney is executed on this \_\_\_\_\_ day of \_\_\_\_\_ month, \_\_\_\_\_ year. I/ we \_\_\_\_\_,

residing at/ having its registered office at \_\_\_\_\_

**Whereas** I/ we hold Trading Account No. \_\_\_\_\_

& beneficial owner account number \_\_\_\_\_

with Central Depository Services (India) Limited (CDSL),

through **Tradeswift Broking Pvt. Ltd.** registered with

Securities and Exchange Board of India (SEBI)

**And Whereas** I/ we am/ are desirous to buy and sell securities through **Tradeswift Broking Pvt. Ltd.** who is a stock broker registered with SEBI and member of recognized stock exchange/s.

**And Whereas** I/ we am/ are desirous of appointing **Tradeswift Broking Pvt. Ltd.** as my/our constituted attorney to operate my/ our beneficial owner account, Trading Account on my/ our behalf for a limited purpose in the manner hereinafter appearing and subject to conditions as provided herein.

Now know you all and these presents witness that I/ we do hereby nominate, constitute and appoint **Tradeswift Broking Pvt. Ltd.** (hereinafter referred to as "the stock broker") as my true and lawful attorney and authorise it to perform the following functions on my behalf:

I. To transfer securities held in my/our aforementioned beneficial owner account(s) to the demat account nos. **1206590000000421, 12065900000001936, 1100001100017516 & 1100001000021771** of the stock

broker maintained for the purpose of settlement of trades and margin obligations arising out of trades executed by me/us on any recognized stock exchange through the stock broker. However, the said power will be restricted to only transfer of securities to the Clearing Member ID allotted to the stock broker by any existing or future exchange that the stock broker has joined/ will join as a member or to any demat accounts linked to the said Clearing Member ID; provided that I/we have executed a Client Member Agreement with the stock broker for such exchanges.

ii. To pledge the securities in favor of Tradeswift Broking Pvt Ltd. for the limited purpose of meeting my/our margin requirements in connection with the trades executed by me/us on any recognized stock exchange through the stock broker.

iii. To re-pledge such securities to the clearing member / clearing corporation as the case may be. It may be noted that the pledge in our favour will be marked towards following DP a/c : A/c name - **'Tradeswift Broking Pvt Ltd. Client Securities Margin Pledge Account'**

A/c no: **1206590000096964**

iv. To return to me/us, the securities or funds that may have been received by the stock broker erroneously or those securities or funds that the stock broker was not entitled to receive from me/us.

v. To send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SMS/ email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

vi. To apply for various products like

Third Holder

Second Holder

Sole / First Holder

For Stamping




## For Demat Account

Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc pursuant to oral/written/electronic instructions given by me/us to the stock broker.

I/We ratify the instructions given by the aforesaid stock broker to the depository participant named hereinabove in the manner specified herein.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) .in witting by me and that the said revocation shall be effective from the date on which the revocation notice is received by us at our office at 4th floor, Baid House, 1, Tara Nagar, Ajmer Road, Jaipur-302006.

### SIGNED AND DELIVERED BY

	NAME/S OF SIGNATORY(IES)	SIGNATURE(S)
Sole / First Signatory		
Second Signatory		
Third Signatory		

### WITNESS DETAILS

Note : Two witnesses shall attest signature(s) / thumb impression(s)

	First Witness	Second Witness
Name of Witness		
Address of Witness		
Signature of Witness	✓	✓

We Accept

For Tradeswift Broking Pvt. Ltd.

Authorised Signatory

### For Office use only

		POA Entered By	
POA Entry Date		POA Revoke Date (if any)	

**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual**

**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.  
 B) Please fill the form in English and in BLOCK letters.  
 C) Please fill the date in DD-MM-YYYY format.  
 D) Please read section wise detailed guidelines / instructions at the end.  
 E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 F) List of two character ISO 3166 country codes is available at the end.  
 G) KYC number of applicant is mandatory for update application.  
 H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.




<b>For office use only</b> (To be filled by financial institution)	Application Type* KYC Number	<input type="checkbox"/> New <input type="checkbox"/>	Update <input type="checkbox"/>	(Mandatory for KYC update request)
	Account Type*			

**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)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>			
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="text"/> )			
Residential Status*	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <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			

**PHOTO**



Signature / Thumb Impression

**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*	<input type="text"/>
Tax Identification Number or equivalent (If issued by jurisdiction)*	<input type="text"/>
Place / City of Birth*	ISO 3166 Country Code of Birth* <input type="text"/>

**3. PROOF OF IDENTITY (Pol)\*** (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity[Pol] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

**4. PROOF OF ADDRESS (PoA)\***

☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

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

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)	<input type="checkbox"/> Others <input type="text"/>	
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card			
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

**Address**

Line 1*	<input type="text"/>									
Line 2	<input type="text"/>									
Line 3	<input type="text"/>									
District*	<input type="text"/>	Pin / Post Code*	<input type="text"/>	State / U.T Code*	<input type="text"/>	ISO 3166 Country Code*	<input type="text"/>	City / Town / Village*	<input type="text"/>	

☐ 4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS \* (Please see instruction E at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1*																				
Line 2																				
Line 3																				
District*						Pin / Post Code*						State / U.T Code*			ISO 3166 Country Code*					

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1*																				
Line 2																				
Line 3																				
State*						ZIP / Post Code*						ISO 3166 Country Code*								

☐ 5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Tel. (Off)						Tel. (Res)						Mobile									
FAX						Email ID															

☐ 6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

<input type="checkbox"/> Addition of Related Person	<input type="checkbox"/> Deletion of Related Person	KYC Number of Related Person (if available*)																		
Related Person Type*	<input type="checkbox"/> Guardian of Minor	<input type="checkbox"/> Assignee	<input type="checkbox"/> Authorized Representative																	
Name*	Prefix	First Name					Middle Name					Last Name								
(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)

<input type="checkbox"/> A- Passport Number						Passport Expiry Date	DD - MM - YYYY											
<input type="checkbox"/> B- Voter ID Card																		
<input type="checkbox"/> C- PAN Card																		
<input type="checkbox"/> D- Driving Licence											Driving Licence Expiry Date	DD - MM - YYYY						
<input type="checkbox"/> E- UID (Aadhaar)																		
<input type="checkbox"/> F- NREGA Job Card																		
<input type="checkbox"/> Z- Others (any document notified by the central government)											Identification Number							
<input type="checkbox"/> S- Simplified Measures Account - Document Type code													Identification Number					

☐ 7. REMARKS (If any)


8. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any 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.

[Signature / Thumb Impression]

- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : DD - MM - YYYY Place :

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY										INSTITUTION DETAILS									
Date	DD - MM - YYYY									Name									
Emp. Name										Code									
Emp. Code										[Institution Stamp]									
Emp. Designation																			
Emp. Branch																			
[Employee Signature]																			



## CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Correspondence / Related Person

## Important Instructions:

- A) Fields marked with "\*" are mandatory fields.  
 B) Please fill the form in English and in BLOCK letters.  
 C) Please fill the date in DD-MM-YYY  
 D) Please read section wise detailed guidelines / instructions at the end.

- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 F) List of two character ISO 3166 country codes is available at the end.  
 G) KYC number of applicant is mandatory for update application.  
 H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



## For office use only

Application Type\*

☐ New ☐ Update

(To be filled by financial institution) KYC Number

(Mandatory for KYC update request)

## Annexure A1 - Correspondence

## 1. CORRESPONDENCE / LOCAL ADDRESS DETAILS (Please see instruction E at the end)

☐ Same as Current / Permanent / Overseas Address details

Line 1\*

Line 2

Line 3

District\*  Pin / Post Code\*  City / Town / Village\*

State / U.T Code\*  ISO 3166 Country Code\*

## 2. CONTACT DETAILS (All communications will be sent on provided Mobile no./ Email-ID) (Please refer instruction F at the end)

Tel (Off)  Tel. (Res)  Mobile

FAX  Email ID

## 3. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any 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.

[Signature / Thumb Impression]

Date : Place : 

Signature / Thumb Impression of Applicant

## Annexure B1 - Related Person

## 1. DETAILS OF RELATED PERSON (Please refer instruction G at the end)

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available\*)

Related Person Type\* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name\*  Prefix  First Name  Middle Name  Last Name

(If KYC number and name are provided, below details of section 1 are optional)

## PROOF OF IDENTITY (PoI) OF RELATED PERSON\* (Please see instruction (H) at the end)

☐ A- Passport Number  ☐ B- Voter ID Card

Passport Expiry Date  ☐ C- PAN Card

☐ D- Driving Licence  ☐ E- UID (Aadhaar)

D L Expiry Date  ☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government)  Identification Number

☐ S- Simplified Measures Account - Document Type code  Identification Number

## 2. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any 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.

[Signature / Thumb Impression]

Date : Place : 

Signature / Thumb Impression of Applicant

## 3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

## KYC VERIFICATION CARRIED OUT BY

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

## INSTITUTION DETAILS

Name

Code

[Institution Stamp]

## CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

### General Instructions:

- 1 Fields marked with '\*' are mandatory fields.
- 2 Tick '✓' wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- 6 Wherever state code and country code is to be furnished, the same should be the two -digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
- 9 In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

### A Clarification / Guidelines on filling 'Personal Details' section

- 1 **Name:** Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Either **father's name or spouse's** name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

### B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

- 1 **Tax identification Number (TIN):** TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

### C Clarification / Guidelines on filling 'Proof of Identity [Pol]' section

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if 'Z - Others (any document notified by the central government)' is ticked.
- 3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

### D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section

- 1 PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post -paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

### E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section

- 1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- 2 In case of multiple correspondence / local addresses, Please fill 'Annexure A1'

### F Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91 -9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

### G Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person if available.

### H Clarification / Guidelines on filling 'Related Person details – Proof of Identity [Pol] of Related Person' section

- 1 Mention identification / reference number if 'Z - Others (any document notified by the central government)' is ticked.

## List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chhattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

**ADJUSTMENT OF BALANCES**

VOLUNTARY

To,  
The Director,  
Tradeswift Broking Pvt. Ltd.  
4th Floor Baid House, 1, Tara Nagar, Ajmer Road, Jaipur - 302006.

Re : Transfer Between Accounts

Client Code : \_\_\_\_\_

Dear Sir,

I/We hereby authorise you to transfer/my/our debit/credit balance of funds / securities / commodities / any other collateral between any of my accounts maintained with you in any of the above-mentioned companies, across all segments.

I/We further also authorise you to transfer my/our debit/credit balance of funds / securities / commodities / any other collateral to the following interrelated / group accounts maintained with you in any of the above-mentioned companies.

S.No.	Name	Client Code	S.No.	Name	Client Code

I am aware that the transfers/adjustments can be for margin purpose/ financial debits/ any other shortage.

Thanking you,

Name:

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

Date:

Place:

**ACKNOWLEDGMENT**

To,  
Tradeswift Broking Private Limited

I/We hereby acknowledge the receipt of duly signed copy of KYC, RDD, Rights & Obligations, Do & Don't's and all other mandatory and voluntary documents as executed by me/us for the following Exchanges and segments.

Exchanges	Segments	Exchanges	Segments	Exchanges	Segments
NSE	<input type="checkbox"/> Cash <input type="checkbox"/> F&O	BSE	<input type="checkbox"/> Cash <input type="checkbox"/> F&O <input type="checkbox"/> Currency	MCX	<input type="checkbox"/> Commodities
	<input type="checkbox"/> Currency <input type="checkbox"/> MFSS	MSEI	<input type="checkbox"/> Cash <input type="checkbox"/> F&O <input type="checkbox"/> Currency	NCDEX	<input type="checkbox"/> Commodities

I/We acknowledge that the other details related to my/us account are as under:

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

UCC \_\_\_\_\_

My E-mail id \_\_\_\_\_

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

**RECEIPT (BY CLIENT)**

I/We have Received the copy of :-

1. Rights & Obligations of BO & DP

2. Power of Attorney in favour of Tradeswift Broking Pvt. Ltd.

3. Duly signed Tariff Structure.

4. KYC Customer Copy

5. DIS Booklet From \_\_\_\_\_ To \_\_\_\_\_

DP ID	1	2	0	6	5	9	0	0	BOID							
-------	---	---	---	---	---	---	---	---	------	--	--	--	--	--	--	--

\_\_\_\_\_  
Sole / First Holder

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

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



**FATCA & CRS DECLARATION (FOR INDIVIDUAL)**

Do you have any non-indian Country(ies) of Birth / Citizenship / Nationality and Tax Residency?	<input type="checkbox"/> Yes <input type="checkbox"/> No
---	--

<b>Sole/First Holder/Guardian</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Country of Birth		Country of Citizenship / Nationality	
Are you a US Specified Person ?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Please provide Tax Payer Id	
Country of Tax Residency* (Other then India)	1.	Taxpayer Identification No.	
	2.	Taxpayer Identification No.	
Address			

<b>Second Holder</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Country of Birth		Country of Citizenship / Nationality	
Are you a US Specified Person ?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Please provide Tax Payer Id	
Country of Tax Residency* (Other then India)	1.	Taxpayer Identification No.	
	2.	Taxpayer Identification No.	
Address			

<b>Third Holder</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Country of Birth		Country of Citizenship / Nationality	
Are you a US Specified Person ?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Please provide Tax Payer Id	
Country of Tax Residency* (Other then India)	1.	Taxpayer Identification No.	
	2.	Taxpayer Identification No.	
Address			

\*Please indicate all countries in which you are a resident for tax purpose and associated Taxpayer identification number.

**FATCA - CRS Terms and Conditions**

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Tradeswift Broking Pvt. Ltd. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

  
\_\_\_\_\_  
Sole / First Holder

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

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

\*For detail terms & conditions please see Client Copy

**TRADESWIFT BROKING PVT. LTD.**

Exchange	TM ID / DP ID	SEBI Regn. No.
National Stock Exchange of India Ltd	12485	INZ000166439
Bombay Stock Exchange of India Ltd.	6284	
Multi Commodities & Derivatives Exchange of India Ltd.	10790	
National Commodity and Derivatives Exchange Ltd.	00142	
Metropolitan Stock Exchange of India Ltd.	47000	
Central Depository Services India Ltd.	12065900	IN-DP-CDSL-563-2010

**Clearing Member** - NSE & BSE (F&O and CD Segment), MSEI (CD Segment), MCX & NCDEX Commodities Segment

Globe Capital Market Limited :- SEBI Regn. No. : INZ000177137, NSE Clearing No.- 06637 | BSE.: Clearing No.- 3179 | MSEI : Clearing No.- 4  
NCDEX Clearing No. : M51085 | MCX Clearing No. : 8090

**MEMBER DETAILS**

**Regd. & Corresp. Office.:** 1, Tara Nagar, Ajmer Road, Jaipur-06 | 0141-4050505 | [www.tradeswift.net](http://www.tradeswift.net) | [contact@tradeswift.net](mailto:contact@tradeswift.net)

**Compliance Officer :** Mr. Nishant Jain Phone: 0141-4050555 | E-mail: [compliance@tradeswift.net](mailto:compliance@tradeswift.net)

**Directors:** Mr. Nishant Jain & Mr. Sandeep Kumar Jain | Phone: 0141-4050500 | E-mail: [contact@tradeswift.net](mailto:contact@tradeswift.net)

**GRIEVANCE/DISPUTE**

For any grievance/dispute, please contact Tradeswift Broking Pvt. Ltd. at the above address or email id- [helpdesk@tradeswift.net](mailto:helpdesk@tradeswift.net) and Phone no. 91-141-4050505. In case not satisfied with the response, please contact the concerned exchange(s) mentioned below :

Exchange	E-mail ID	Phone No.
National Stock Exchange of India Ltd	<a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>	022-26598190
Bombay Stock Exchange of India Ltd.	<a href="mailto:is@bseindia.com">is@bseindia.com</a>	022-22728097
Metropolitan Stock Exchange of India Ltd.	<a href="mailto:investorcomplaints@msei.in">investorcomplaints@msei.in</a>	022-61129000
Central Depository Services India Ltd.	<a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a>	1800-200-5533
Multi Commodities & Derivatives Exchange of India Ltd.	<a href="mailto:grievance@mcxindia.com">grievance@mcxindia.com</a>	022-67318888
National Commodity and Derivatives Exchange Ltd.	<a href="mailto:askus@ncdex.com">askus@ncdex.com</a>	022-66406608



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