

# GEOJIT IFSC LIMITED

## CLIENT REGISTRATION FORM – FOR INDIVIDUALS



SR. NO	PARTICULAR	MEMBERSHIP NO
1	IFSCA Registrations No.	IFSC/BD/2022-23/0008
2	India International Exchange IFSC Ltd.	5078
3	NSE International Exchange IFSC Ltd.	10061

**Registered office address:** Unit No. 1641, 16<sup>th</sup> Floor, Signature Building, Block<sup>h</sup> 13-B, Zone 1, Gift SEZ, Gandhinagar – 382 355, Gujarat, INDIA.

Ph: 079 – 68350005/8

Email: [geojitifsc@geojit.com](mailto:geojitifsc@geojit.com)

Website: [www.geojitifsc.com](http://www.geojitifsc.com)

## ACCOUNT OPENING CHECKLIST (For Individuals)

### **PART – 1 KYC, Voluntary Consent Letter, FATCA, W8 BEN Form and Bank Details**

1.1	KYC	Central KYC form for Individual
1.2	Account Opening Form	Additional
1.3	Voluntary Consent Letter	Please mentioned your DP ID and Client ID
1.4	Tariff Sheet	Client are required to choose a tariff and confirm
1.5	FATCA Form	FATCA Declaration for Individual
1.6	W 8 BEN Form	Certificate of Foreign Status of Beneficial Owner For United States Tax withholding and reporting.

### **PART – 2 Policies & Procedures and Declarations**

2.1	Policies & Procedures	Document describing significant policies and procedures of the trading member
2.2	Declarations	Declarations from account holder for Running Account Authorisation , Retention Authorisation, and Standing Instructions.

Rights and Obligations Document, Risk Disclosure Document (RDD), Do's and Don'ts Document, Product Disclosure Statement (PDS) and Master Deed Poll (MDP) and Policies and Procedures can be read/downloaded from the company's website at [www.geojitifsc.com](http://www.geojitifsc.com)

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

## Important Instructions:

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



## For office use only

Application Type*	<input type="checkbox"/> New <input type="checkbox"/> Update
(To be filled by financial institution) KYC Number	<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"/> <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 for KYC update request)
Account Type*	<input type="checkbox"/> Normal <input type="checkbox"/> Minor <input type="checkbox"/> Aadhaar OTP based E-KYC (in non-face to face mode)

☐ 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	<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"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender			
PAN*	<input type="text"/>	<input type="checkbox"/> Form 60 furnished		

☐ 2. PROOF OF IDENTITY AND ADDRESS\* (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
- ☐ B-Voter ID Card
- ☐ C-Driving Licence
- ☐ D-NREGA Job Card
- ☐ E-National Population Register Letter
- ☐ F-Proof of Possession of Aadhaar

- II ☐ E-KYC Authentication
- III ☐ Offline verification of Aadhaar

☐ PHOTO\*

## 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"/>
City / Town / Village*	<input type="text"/>
State/U.T Code*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

☐ 3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)☐ Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
- ☐ B-Voter ID Card
- ☐ C- Driving Licence
- ☐ D-NREGA Job Card
- ☐ E- National Population Register Letter
- ☐ F - Proof of Possession of Aadhaar

- II ☐ E-KYC Authentication
- III ☐ Offline verification of Aadhaar

- IV ☐ Deemed Proof of Address - Document Type code

- V ☐ Self Declaration

## 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"/>
City / Town / Village*	<input type="text"/>
State/U.T Code*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

☐ **4. CONTACT DETAILS** (All communications will be sent to Mobile number/ Email-ID provided) (Please refer instruction **C** at the end)

Tel. (Off)	<input type="text"/>	Tel. (Res)	<input type="text"/>	Mobile	<input type="text"/>
Email ID	<input type="text"/>				

☐ **5. REMARKS** (If any)

<input type="text"/>
<input type="text"/>
<input type="text"/>

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

Date : -- Place:

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

**7. ATTESTATION / FOR OFFICE USE ONLY**

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC Process  
☐ Equivalent e-document ☐ Video Based KYC

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

- 1 Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory : Mother's name, Spouse's name, Father's name.

**B Clarification / Guidelines on filling 'Current Address details' section**

- 1 In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address':

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	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.

- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository

**C 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.

**D Clarification / Guidelines on filling 'Related Person details' section**

- 1 Provide KYC number of related person, if available.

**E Clarification on Minor**

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.



**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
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra & Nagar Haveli and Daman & Diu	DD	Maharashtra	MH	Uttar Pradesh	UP
Ladakh	LA	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		

**List of ISO 3166 two digit Country Code**

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GO	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Island	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Island	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Moyotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SI
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	MZ	Taiwan province of china	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hongkong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire  Cote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion  Reunion	RE	Virgin Island, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao  Curacao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy  Saint BartheJemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kittsand Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French Part)	MF		

## Annexure A1

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

## Important Instructions:

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



For office use only Application Type\* ☐ New ☐ Update ☐ Delete  
(To be filled by financial institution) KYC Number  (Mandatory for KYC update request)

☐ 1. DETAILS OF RELATED PERSON (Please refer instruction D & E at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Updation 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 <input type="text"/>	First Name <input type="text"/>	Middle Name <input type="text"/>	Last Name <input type="text"/>
(If KYC number and name are provided, below details are optional)				
Maiden Name	<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"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
PAN*	<input type="text"/>	<input type="checkbox"/> Form 60 furnished		

☐ 2. PROOF OF IDENTITY AND ADDRESS\*

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
- ☐ B-Voter ID Card
- ☐ C- Driving Licence
- ☐ D-NREGA Job Card
- ☐ E- National Population Register Letter
- ☐ F - Proof of Possession of Aadhaar
- II ☐ E-KYC Authentication
- III ☐ Offline verification of Aadhaar

☐ PHOTO\*

## Address

Line 1\*

Line 2

Line 3

District\*  Pin / Post Code\*  City / Town / Village\*  State / U.T Code\*  ISO 3166 Country Code\*

☐ 3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
- ☐ B-Voter ID Card
- ☐ C- Driving Licence
- ☐ D-NREGA Job Card
- ☐ E- National Population Register Letter
- ☐ F - Proof of Possession of Aadhaar
- II ☐ E-KYC Authentication
- III ☐ Offline verification of Aadhaar
- IV ☐ Deemed Proof of Address - Document Type code
- V ☐ Self Declaration

[illegible][illegible]

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

**Signature /Thumb Impression of Applicant**

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC Process  
☐ Equivalent e-document ☐ Video Based KYC

## INSTITUTION DETAILS

Name

Code



# GEOJIT IFSC LIMITED

## ADDITIONAL KYC DETAILS FOR OPENING A TRADING ACCOUNT

### (INDIVIDUALS)

#### A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch address	Bank account no.	Account Type: Saving/Current/ Others-In case of NRI/NRE/NRO	MICR Number	IFSC code

#### B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant	Depository Name	Beneficiary name	DP ID	Beneficiary ID (BO ID)
	India International Depository IFSC Limited			

GST Registration Number:-

(GST Registration Certificate needs to be attached as proof). NOTE: For availing GST credit, providing GST number is mandatory.

#### C. TRADING PREFERENCES

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

Exchange	Cash Segment	Derivatives segment (including Commodity Options)	Currency Derivatives segment	Securities Lending and Borrowing (SLB)	Mutual Funds (Online)	Corporate Bonds/Debts
NSE - IFSC						
INDIA INX						

#### D. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities/commodities during the last 3 years	
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#### E. DEALINGS OTHER STOCK BROKERS

Whether dealing with any other stock broker (in case dealing with multiple stock brokers, provide details of all)

Name of Stock Broker: \_\_\_\_\_

Client Code: \_\_\_\_\_ Exchange: \_\_\_\_\_  
 Details of disputes/dues pending from/to such stock broker/ \_\_\_\_\_

## F. ADDITIONAL DETAILS

Whether you wish to receive ☐ Physical contract note ☐ Electronic Contract Note (ECN) (Please specify): \_\_\_\_\_  
 {If ECN then please fill in ECN declaration}

Specify your Email id, if applicable: \_\_\_\_\_

Whether you wish to avail of the facility of Internet trading ☐ Wireless technology ☐  
 (Please specify): \_\_\_\_\_

Number of years of Investment / Trading Experience \_\_\_\_\_ (Years in stocks) \_\_\_\_\_ (Years in Derivatives) \_\_\_\_\_ (Years in Commodities)  
 No prior experience \_\_\_\_\_

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: \_\_\_\_\_ (Annex sheet separately)

## G. Gross Annual Income in USD (\$) (details (Please tick (√)))

☐ Below 100k ☐ 100 - 500k ☐ 500k - 1 million ☐ 1 - 2.5 million ☐ > 2.5 million  
 OR

Net-worth in \$ \_\_\_\_\_ as on date \_\_\_\_\_ dd/mm/yyyy (Net worth should not be older than 1 year)

## H. Occupation

☐ Private sector service ☐ Public sector ☐ Government service ☐ Business ☐ Professional ☐ Agriculturist  
☐ Retired ☐ Housewife ☐ Student ☐ Forex Dealer ☐ Others \_\_\_\_\_

I. Please tick, if applicable: ☐ Politically exposed person ☐ Related to a Politically exposed person.

## J. INTRODUCER DETAILS

Name of the Introducer: \_\_\_\_\_

Status of the Introducer ☐ Remisier ☐ Authorized Person ☐ Existing Client Others, please specify \_\_\_\_\_

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

Signature of the Introducer \_\_\_\_\_

Whether you wish to receive alerts from Stock Exchanges: ☐ SMS ☐ Email ☐ Both SMS & Email

## K. NOMINATION DETAILS (for individuals only)

☐ I/We wish to nominate ☐ I/we do not wish to nominate

Name of the Nominee: \_\_\_\_\_ Relationship with the Nominee: \_\_\_\_\_

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

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

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

Name of guardian: \_\_\_\_\_  
 Address and Phone No. of Guardian: \_\_\_\_\_  
 Signature of guardian: \_\_\_\_\_

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

1) Name: \_\_\_\_\_ 2) Name: \_\_\_\_\_  
 Address: \_\_\_\_\_ Address: \_\_\_\_\_  
 Signature: \_\_\_\_\_ Signature: \_\_\_\_\_

**DECLARATION AND UNDERTAKING**

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the „Rights and Obligations“ document(s) and „Risk Disclosure Document“. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.
4. I/we will give all the required documents as required/demanded by any statutory or regulatory authority or Geojit IFSC Limited from time to time.
5. I/We am/are and will be in compliance with the laws/regulations etc of my/our country for trading in IFSC through Geojit IFSC Limited.
6. I/we will comply with the rules, bye-laws, regulations, notifications, circulars, guidelines etc issued by regulatory/ statutory authority from time to time and shall indemnify Geojit IFSC Limited in case of any non-compliance/violation in this regard.
7. I/we understand that Geojit IFSC Limited is acting as my/our agent and cannot be held liable for transactions executed on the Exchange platform. In case Geojit IFSC Limited does not receive payout of funds / securities/commodities/ collaterals from the Exchange / Clearing Corporation /Clearing House/Depository/Counterparty, then Geojit IFSC Limited is not liable to give such payout to me/us and Geojit IFSC Limited shall not be liable in whatsoever manner and I/we cannot and will not claim the same from Geojit IFSC Limited. In case part payout is received from the Exchange / Clearing Corporation /Clearing House/Depository/ Counterparty, then I/we shall also get part payout and I/we cannot and will not claim the balance payout from Geojit IFSC Limited. In case of fraud/violation/non-compliance of any type by any entity ie. entities involved in clearing and settlement other than Geojit IFSC Limited in the process of transactions, clearing and settlement Geojit IFSC Limited cannot and will not be held liable in whatsoever manner and I/we cannot and will not file any claim(s) of whatsoever nature against Geojit IFSC Limited in this regard. In case where pay-out of funds/securities/commodities is given by Geojit IFSC Limited to me/us and Exchange / Clearing Corporation /Clearing House/Depository/ Counterparty takes back such pay-out, then Geojit IFSC Limited has the right to take back the same from me/us and I/we will be liable to pay the same to Geojit IFSC Limited.
8. I/we understand and agree that there is no fixed return in equities, commodities, currencies, derivatives or any other asset classes or segments traded on the exchange or OTC (Over the Counter) products. The principal or the initial investment (in cash or collateral or any other asset class) can also be lost fully and losses can be higher than initial investment.
9. I / We further confirm that I / We have also read and understood the various risks associated with trading in various segments / products of the securities market and other markets and trading/investment decision is my/our sole responsibility.
10. I/we submit to the exclusive jurisdiction of the Courts exercising jurisdiction over the International Financial Service Centre.

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

\_\_\_\_\_  
 Signature of Client/ (all) Authorized Signatory (ies)

\*Form need to be signed by all the authorized signatories.



**FOR OFFICE USE ONLY**

UCC Code allotted to the Client: \_\_\_\_\_

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

*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.*

Date .....

.....  
**Signature of the Authorised Signatory**
**Seal/Stamp of the Stock Broker**
**INSTRUCTIONS/ CHECK LIST**

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

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

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

- Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- \*As per SEBI Circular No. IMD/HO/FPIC/CIR/P/2017/003 dated 4th January, 2017, registered FPIs ("FPIs"), proposing to operate in IFSC, shall be permitted, without undergoing any additional documentation and/or prior approval process
- Demat master or recent holding statement issued by DP bearing name of the client.
- For individuals:
  - Stock broker has an option of doing „in-person“ verification through web camera at the branch office of the stock broker/sub-broker's office.
  - In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person" verification. Further, considering the infeasibility of carrying out „In-person" verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

## Voluntary Consent letter for KYC

**Geojit IFSC Limited.**

16th floor, 1641, Signature Building Block 13-B,  
 Zone 1, GIFT SEZ GIFT City Gandhinagar -  
 382355, Gujarat, India.

**Subject: Client due diligence information for Account Opening and Know Your Client (KYC) Details**

Dear Sir/Madam,

I/We understand that Stockholding Securities IFSC Limited registered as a Depository Participant with Securities Exchange Board of India/ IFSCA is the Depository Participant (hereinafter referred to as "DP") of Geojit IFSC Limited which is a trading member registered with NSE IFSC Limited ("Trading Member" or "you").

I/We am/ are a client having DP ID \_\_\_\_\_, Client ID \_\_\_\_\_ with your DP and am desired of becoming a client with you for trading on NSE IFSC Limited. I undertake to trade only in the products for which I am permitted under the applicable rules, regulations, circulars and guidelines prescribed by Securities Exchange Board of India (SEBI)/Reserve Bank of India (RBI) and/or International Financial Services Centers Authority (IFSCA).

I/We am/are aware that, you are required to conduct verification of identification of your clients at the time of commencement of an account-based relationship which in-person verification and complying with applicable laws in this regard.

As your DP has already undertaken my KYC and my KYC documents are available with your DP, I am hereby giving my consent for you to obtain my record/information for due diligence, including in-person verification, back details, past disciplinary action (if any) or any other required details for Account Opening and Know Your Client (KYC) Process, carried out from your DP in order to commence an account-based relationship with you.

I/We am/are aware of the risks involved in dealing with financial markets and the products that I/We will be dealing in. I/We confirm that I/We have read and understand the contents of the 'Rights and Obligations' documents(s), 'Risk Disclosure Document and Guidance note on Do's and Don'ts' available on your website.

I/We further confirm that I have received and read the 'Product Disclosure Statement' (PDS) and 'Master Deed Poll'(MDP) of NSE IFSC Receipts. **(Applicable for clients desirous of trading in NSE IFSC Receipts)**

I/We do here by agree to be bound by such provisions as outlined in these documents.

Date:

Place:

**Authorized Signatory (ies)**

## TARIFF SHEET

### A. Schedule of Geojit IFSC charges for Trading Account- Individual Category

Sr. No	Particulars	Applicable fees in USD (India INX & NSE –IFSC)
1.	Account set-up charges	\$ 10
2.	Trading Brokerage (Capital Market products)	Futures - \$10 per lot B/S Options - \$ 1 per lot B/S
3.	Transaction charges	As per exchanges (currently it is NIL at both Exchanges)
4.	IFSCA Fees	As per IFSCA circulars (currently it is 0.0001% of Turn Over)

### B. NSE IFSC Receipts on US Stocks

Sr. No	Particulars	Applicable fees in USD (Exchange NSE –IFSC)
1.	Transaction charges (NSE-IFSC) Receipts on US Stocks)	12 cents per \$100 (one side)
2.	Trading Brokerage	\$ 5 per lot B/S

#### Notes:

1. The above charges are of Geojit IFSC Limited. The Depository charges if any and the charges levied by the exchanges and other statutory charges will be debited to the client at actual.
2. The plan charges are non-refundable and will be debited on activation of the account on first receipt of funds from the client.
3. All other charges related to Trading and Demat will be debited to the client as and when transaction takes place.
4. Geojit IFSC reserves the right to revise the charges and the same will be intimated to the client through email in advance.
5. Services not mentioned above will be charged separately as per the applicable rate.
6. The charges mentioned above are exclusive of any applicable taxes.

I/We hereby chose the above tariff structure and I/We agree to the above terms and condition. I/We further agree that the mobile number and email id mentioned in the account opening form pertains to me/us and any communication with the registered email id and/or mobile number will be treated as valid communication.

Date:  
Place:

**Authorized Signatory (ies)**

**FATCA/CRS Declaration for Individual**  
 (Each demat account holder has to submit separate FATCA/CRS Declaration)

**Section I**

<b>Name of the Client</b>				
<b>Father Name</b>				
<b>Spouse Name</b>				
<b>Occupation Type</b>	<b>Service</b>		<b>Business</b>	
<b>Occupation details (Short Description)</b>				
<b>PAN</b>				

<b>Are you a Tax Resident (i.e. Citizen/ Resident/ Green Cardholder/ assessed for Tax) in any country other than India?</b>	<b>Yes</b>	<input type="checkbox"/>	<b>No</b>	<input type="checkbox"/>
<b>Are you US Person</b>	<b>Yes</b>	<input type="checkbox"/>	<b>No</b>	<input type="checkbox"/>

**Section II**  
 (Only applicable when Client selects "Yes" for Tax Residency details other than India)

<b>Correspondence Address</b>			<b>Permanent address</b>		
<b>Citizenship</b>			<b>Date of Birth</b>		
<b>Country for Tax Resident</b>			<b>Country for Tax Resident</b>		
<b>Country of Birth</b>			<b>Place of Birth</b>		
<b>TAX Identification Number (TIN) or Equivalent</b>			<b>TAX Identification Number (TIN) or Equivalent</b>		
<b>TIN is not available</b>	(A)	<input type="checkbox"/>	The Country where the account holder is liable to pay tax does not issue TIN to its residents.		
	(B)	<input type="checkbox"/>	No TIN required (Select the reason only if the authorities of the Respective country of tax residence does not require TIN to be collected)		
	(C)	<input type="checkbox"/>	Other Reason ( <i>Please specify</i> ) _____		

I understand that Geojit IFSC is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. Geojit IFSC cannot offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions. I also undertake to keep Geojit IFSC informed in writing about any changes / modification to the above information in future within 30 days and also undertake to provide any other additional information as may be required at your end or by domestic or overseas regulators/ tax authorities. I agree that as may be required by domestic regulators/tax authorities Geojit IFSC may also be required to report, reportable details to CBDT or suspend my account. I/we certify that the information provided in this form is true, correct, and complete including the taxpayer identification number of the applicant. I also confirm that I have read and understood the FATCA & CRS Terms and Conditions given below and hereby accept the same.



## Notes:

### A. Following supporting documents required along with aforesaid declaration:

1. Self attested PAN(Mandatory) documents required along with self-certification
2. Self attested copy of TIN Card or Equivalent only if Client is US person or Tax Resident in any country other than India
3. Self attested copy of Passport / Driving License / Election Card / UIDAI / NEREGA Card / Govt. Issued ID Card only when Client is not US person or Tax Resident in India
4. Self attested copy of document related to Relinquishment of Citizen only in case Client is US Person
5. but not Citizen of US
6. Any other relevant documents in support of details mentioned in FATCA/CRS self-certification

### FATCA& CRS Terms & Conditions

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

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

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

### FATCA& CRS Instructions

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

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

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

FATCA& CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</li> <li>2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND</li> <li>3. Any one of the following documents:  Certified Copy of "Certificate of Loss of Nationality <b>or</b> Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; <b>or</b> Reason the customer did not obtain U.S. citizenship at birth</li> </ol>
Residence/ mailing address in a country other than India	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>

<p>Telephone number in a country other than India</p>	<p><b><i>If no Indian telephone number is provided</i></b></p> <ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol> <p><b><i>If Indian telephone number is provided along with a foreign country telephone number</i></b></p> <ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India;</li> </ol>
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Form **W-8BEN**

# Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

(Rev. October 2021)

► For use by individuals. Entities must use Form W-8BEN-E.

OMB No. 1545-1621

Department of the Treasury  
Internal Revenue Service

► Go to [www.irs.gov/FormW8BEN](http://www.irs.gov/FormW8BEN) for instructions and the latest information.  
► Give this form to the withholding agent or payer. Do not send to the IRS.

## Do NOT use this form if:

Instead, use Form:

- You are NOT an individual ..... W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual ..... W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the United States (other than personal services) ..... W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States ..... 8233 or W-4
- You are a person acting as an intermediary ..... W-8IMY

**Note:** If you are resident in a FATCA partner jurisdiction (that is, a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

## Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner		2 Country of citizenship	
3 Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. box or in-care-of address.</b>			
City or town, state or province. Include postal code where appropriate.		Country	
4 Mailing address (if different from above)			
City or town, state or province. Include postal code where appropriate.		Country	
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)			
6a Foreign tax identifying number (see instructions)		6b Check if FTIN not legally required <input type="checkbox"/>	
7 Reference number(s) (see instructions)		8 Date of birth (MM-DD-YYYY) (see instructions)	

## Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.

10 **Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_ of the treaty identified on line 9 above to claim a \_\_\_\_\_% rate of withholding on (specify type of income): \_\_\_\_\_

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_

## Part III Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income or proceeds to which this form relates or am using this form to document myself for chapter 4 purposes;
- The person named on line 1 of this form is not a U.S. person;
- This form relates to:
  - (a) income not effectively connected with the conduct of a trade or business in the United States;
  - (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an applicable income tax treaty;
  - (c) the partner's share of a partnership's effectively connected taxable income; or
  - (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f);
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country; and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.

**Sign Here** ►

☐ I certify that I have the capacity to sign for the person identified on line 1 of this form.

Signature of beneficial owner (or individual authorized to sign for beneficial owner)

Date (MM-DD-YYYY)

Print name of signer

**For Paperwork Reduction Act Notice, see separate instructions.**

Cat. No. 25047Z

Form **W-8BEN** (Rev. 10-2021)

**RUNNING ACCOUNT AUTHORISATION**

To,  
**Geojit IFSC Limited.**  
16th floor, 1641, Signature Building Block 13-B,  
Zone 1, GIFT SEZ GIFT City Gandhinagar -  
382355, Gujarat, India.

Date:

Dear Sir/Madam,

I/We, in order to facilitate operations, authorize Geojit IFSC Limited, to maintain a Running Account instead of a Settlement-to-Settlement clearance of Funds and/or Securities to me/us.

I/We request you to kindly settle the funds and securities due to me/us at least once in a calendar month/quarter (please strike off which is not applicable).

I/We understand that:

1. This authorisation shall be signed by me/us only and not by my/our Constituted Power of Attorney.
2. I/We can revoke, in writing this authorization as and when I/We desire to do so.
3. In case I/We have an outstanding obligation on the settlement date, Geojit IFSC may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges.
4. In case if, I/We have any dispute arising from the statement of account or settlement so made, I/We shall bring it to the notice of Geojit IFSC within 7 working days from the date of receipt of Funds/Securities or Statement, as the case may be.
5. Geojit IFSC may settle the funds/securities across segments of the same exchange.
6. There shall be no inter-client adjustment for funds and

securities.

Yours Faithfully,

Sign here \_\_\_\_\_

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

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**RETENTION AUTHORISATION**

To,  
**Geojit IFSC Limited.**  
16th floor, 1641, Signature Building Block 13-B,  
Zone 1, GIFT SEZ GIFT City Gandhinagar -  
382355, Gujarat, India.

Date:

Dear Sir/Madam,

I/We hereby give my consent to Geojit IFSC Limited, to retain an amount of up to USD 1000 while making payment to me/us towards settlement of funds on monthly/quarterly basis.

I/We are aware that the above threshold limit shall not be applicable in case I/We have not traded in a particular month/quarter.

I/We are aware that in case of Indian Resident investing under LRS, the entire amount lying idle up to 15 days from the date of receipt may be repatriated back to domestic INR account after deducting Geojit and bank charges as applicable

Yours Faithfully,

Sign here \_\_\_\_\_

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



## STANDING INSTRUCTION

To,

Date:

**Geojit IFSC Limited.**

16th floor, 1641, Signature Building Block 13-B,  
Zone 1, GIFT SEZ GIFT City Gandhinagar -  
382355, Gujarat, India.

Dear Sir/Madam,

I/We hereby, willfully and unconditionally issue following standing instructions:

1. I/We am/are agreeable that the credit balances of funds and shares be treated as margin.
2. I/We hereby authorize you to adjust the debit/credit balances in my/our margin/settlement account of one exchange /segment with the credit/debit balances in the margin/settlement account of another exchange/segment. Such adjustment of credit balances in any margin/settlement account of any exchange/segment with debit balance in any exchange/segment will tantamount to due discharge of payout of funds to me/us.
3. I/We am/are agreeable for and authorize you to withhold funds and/or securities payout towards all the debit and/or margin requirements.
4. I/We may place orders verbally, telephonically and/or in writing.
5. I/We shall not indulge in any sub-broker activities nor issue bills/contracts/ confirmation notes to anyone else for trades done in our client code.
6. All fines/penalties and charges levied upon by IFSCA/Stock Exchange/any other Financial Sector Regulatory/ any other competent authority due to my/our acts/deeds or transactions may be recovered by you from my/our accounts.
7. I/We agree that you may charge penalty @18% p.a. on any delayed payment i.e. from the due date.
8. These standing instructions are valid from the date of registration and will be valid until revoked in writing.

Yours Faithfully,

Sign here \_\_\_\_\_

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

## POLICIES AND PROCEDURES

### a) **Refusal of orders for penny stocks/illiquid securities or "Z" group stocks**

- Geojit IFSC Limited reserves the right to allow or deny trading in 'illiquid securities' without assigning any reason for the same.
- For this purpose, the instruments, which are appearing in the list of illiquid securities issued by the Exchanges may be considered as 'illiquid securities.'
- Clients are expected not to place orders in illiquid securities at prices which are substantially different from the prevailing market prices. Any such orders is liable to be rejected at the sole discretion of Geojit IFSC Limited.
- Notwithstanding the above, in case of sale of "Penny Stocks", clients should ensure the delivery of shares to Geojit IFSC Limited before the pay-in date. Geojit IFSC Limited will not be liable for any loss arising out of trading in penny/illiquid securities or due to non delivery of shares/illiquid securities for pay-in purpose.

### b) **Trading in Trade to Trade Group of Securities**

As per Exchange, in Trade to Trade group, the buy and sell positions are to be settled on gross delivery basis on each side and netting off is not allowed. Clients can buy the securities to the extent of exposure available with them and sell the securities only to the extent of quantity of securities available in their demat account. As such clients cannot do intra-day transactions in these securities without having sufficient funds / securities with them. In view of the above, clients are requested to find out the securities under Trade to Trade before placing the order with the dealer.

### c) **Setting up of client's exposure limits:**

Geojit IFSC Limited shall allow exposure limits based on clear credit in the account of the client. Geojit IFSC Limited also reserve the right to provide or deny exposure to clients in case client has debit balance or insufficient clear credit balance in his account with Geojit IFSC Limited at the time of placing of order. Geojit IFSC Limited may or may not accept collateral securities like Shares, Fixed Deposits Receipts, Government Securities etc as margin deposit for the purpose of providing exposure against the prevailing market value of securities after deducting the rate prescribed by exchange. Clients willing to avail collateral based exposure may have to complete necessary formalities as may be prescribed by Geojit IFSC Limited from time to time. Geojit IFSC Limited reserves the right to increase/ decrease the brokerage rate, provided the same is informed to client in writing.

### d) **Brokerage rates:**

Normally, for Capital Market Products, the brokerage rate of 0.55% is charged on delivery transactions and 0.12% (both legs of transactions inclusive) is charged for intra-day transactions to client. In Derivatives Segment, the brokerage at the rate of 0.05% is normally charged on both legs of Intraday and/or Carry Forward transactions in Futures Trading and in case of Options Trading, 1% of the premium value or minimum USD 1 per lot whichever is higher. However, the rate of brokerage may differ from client to client as may be decided by the management of Geojit IFSC Limited. Geojit IFSC Limited reserves its rights to increase/decrease the brokerage, provided the same is informed to clients in writing or email. Geojit IFSC Limited may charge minimum brokerage of USD 0.50 (50 Cents) per scripts or per contract note. However, brokerage rate shall not exceed maximum limit of 2.5% on trade price for capital market product and futures contracts and 2.5% of the premium amount or USD 2 per lot for options as prescribed by the regulatory authority. The brokerage charged by Geojit IFSC Limited will be exclusive of charges levied by the Exchanges and other statutory levies as applicable from time to time.

### e) **Imposition of penalty/delayed payment charges by either party, specifying the rate and the period:**

Geojit IFSC Limited reserves right to charge penalty @18% p.a. on the amount outstanding for the period from the date the amount becomes due till the date of realization of amount. Geojit IFSC Limited may also impose penalty, late payment charges or delayed processing charges for delay in making payments to Geojit IFSC Limited. The objective of charging such a penalty/charge is to compel the client to clear the dues in a timely manner. Penalty and other charges if any, levied by Exchanges pertaining to trading of the clients shall be recovered from the respective clients. Note: (Inspection related penalty cannot be levied on clients)

### f) **The right to sell client's securities or close client's positions, without giving notice to the client, on account of non-payment of client's dues (limited to the extent of settlement/margin obligation):**

Without prejudice to Geojit IFSC Limited's other rights (including the right to refer a matter to arbitration), Geojit IFSC Limited shall be entitled, without giving notice to the client, to liquidate/close out all or any of the client's positions for non-payment of margins or settlement obligation or other trade related amounts, outstanding debts etc. and adjust the proceeds of such liquidation/ close out, if any, against the client's liabilities/obligations, selling/disposing of collateral securities. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client. Apart from selling of Shares / securities for debit, Geojit IFSC Limited may impose penalty / delayed payment charges / processing charges / interest as mentioned here-in-above.

### g) **Shortage in obligations arising out of internal netting of trades:**

Failure of the seller to deliver securities shall result in compulsory financial close-out or any such action as may be decided by the relevant authority from time to time. The methodology and the price of financial close-out will be as decided by the relevant authority from time to time.

### h) **Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.**

Geojit IFSC Limited reserves the right to disallow a client to take further position or to close out the client's existing open position:

- There is shortfall in the margin deposited by client with Geojit IFSC Limited
- If Geojit IFSC Limited has reached its limit in that particular security.
- If the client has breached the client-wise limit.
- If the client has taken or intends to take new position in a security which is in the banned period.
- The client does not pay on or before the Pay in day the dues/margins as may be required by the exchange.
- Extreme volatility in the market or in particular security or in the F&O segment.
- There are any unforeseen adverse market conditions or abnormal rise or fall in the market.
- The client is suspected to be resorting to any illegal trading practices or is suspected to be indulging in money laundering activities.

**i) Temporary suspension or closing of client's account at the client's request:**

Geojit IFSC Limited may, on a specific request in writing received from the client (in this regard,) for temporarily suspend/close of the client's account for trading by sending a written request to the dealing office. For removing this temporary suspension, the client will have to request in writing for removal of suspension.

Geojit IFSC Limited on its own may also suspend the client's account:

- In case of non-payment of dues or margin money or non-fulfillment of compliance requirements.
- If there is not a single active demat account linked to trading account.
- If any other non compliance observed in the account.
- The client may also be required to fulfill other conditions, on a case to case basis.
- If the client is debarred by Exchange / SEBI / IFSCA or any other regulatory / statutory authority.

**j) Deregistering a client:**

On a written request received from the client, Geojit IFSC Limited shall close the account of the client provided of client's securities/ funds are settled.

Geojit IFSC Limited may, at its absolute discretion, decide to deregister a particular client.

The illustrative circumstances under which Geojit IFSC Limited may deregister a client are given below:

- SEBI / IFSCA or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market.
- Such client has been indicted by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guideline or circular governing securities market.
- Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
- Such client's name appears in the UN list of prohibited entities or in the SEBI / IFSCA debarred list.
- Such client's account has been lying dormant for a long time or the client is not traceable.
- Such client has been declared insolvent or any legal proceedings to declare him / her as insolvent have been initiated.
- Such client has been irregular in fulfilling obligations towards margin or settlement dues.

**k) Inactive (dormant) Account:**

In case where the client does not operate the trading account for a continuous period of six months, the same will be considered as 'Inactive (dormant) Account' for trading to prevent misuse of client codes and to avoid execution of transaction in such inactive client account due to punching errors. The Client will not be permitted to do any transaction till the account is made 'Active' on client's request. For re-activation of such 'Inactive' account, the client will have to submit request in writing for activation along with duly signed photo copy of Identity Proof i.e. PAN Card / Voter ID Card / Passport. Alternatively, the client can personally visit the office for in-person verification and submit the aforesaid identity proof. The office will maintain the proof for future reference.

**l) Proprietary Trading:**

The Member trades in its own proprietary account in the capital market, equity or derivatives segment.

**m) Margin :**

- The client shall pay applicable initial margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by IFSCA from time to time as applicable to the segment(s) in which the client trades.
- In case client fails to meet margin obligation fully or partially, Geojit IFSC Limited may recover penalties as per exchange guidelines.
- The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House)
- The client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for nonpayment of margins or other trade related amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's trade related liabilities/obligations.
- Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and born by the client.

**n) Provisions for Individuals' resident in India investing under LRS**

- For clients who are resident in India,
- Remittances for margins or margin calls to overseas exchanges are not allowed under the Liberalised Remittance Scheme (LRS). Therefore,
- Margin trading is not permitted and Trading in derivative products is not permitted
- Funds equivalent to the 100% of transaction value which includes trade value, transaction fee, brokerage etc. should be available with the Trading Members before any trade is executed on their behalf
- Any remittances made by the clients for the purpose of intra-day trades in eligible securities on any of the Exchanges would be considered as investment in securities and would be permitted through the LRS route subject to the condition that no intraday positions /trades should be permitted which would exceed the overall LRS limit of USD 250000 per financial year.
- Any profits arising out of the sale transaction cannot be used for further purchases till the profits are credited to clients' account
- No naked short sale will be permitted
- BTST is not permitted
- Any funds lying idle in the account of the trading member for a period up to 15 days from the date of its receipt into the account shall be immediately repatriated to domestic INR account of the client in India after deducting applicable charges of Geojit IFSC Limited and Bank charges if any.
- Client acceptance of policies and procedures mentioned herein above - I / We have understood the policies and procedures. I / We agree to sign the same. I / we am / are aware that the updated policies is available on the website of the company.

Client's Name: \_\_\_\_\_

Sign here \_\_\_\_\_ UCC: \_\_\_\_\_