



 ZEROODHA

Application Kit

Equity

Documents Required

Pan Card
Address Proof
Cancelled Cheque
Income Proof

Internet & wireless technology based trading facility provided by stock broker to the client

(All the clauses mentioned in the "Rights and Obligations" document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet Based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with datacard, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT website provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy is as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such a person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stockbroker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or nonexecution of his orders due to any link / system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stockbroker/Exchanges.


Declaration

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.

Client Name AKSHITH N

Place USA

Date : 21 01 2022

 F4

Running account authorization

Voluntary

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Interest Rate future Segment & in order to facilitate ease of operations and upfront requirement of margin for trade.

I/We authorize you as under:

1. 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) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise.
2. I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing Corporation, unless I/We instruct you to transfer the same to my/our account.
3. I/We request you to settle my fund and securities account (choose one option)

☐ Once in a calendar Month

☒ Once in every calendar Quarter except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt

4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/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.

5. 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 preferably within 7 working 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.

6. I/We confirm you that I can revoke the above mentioned authority at any time.

7. This running account authorization would continue until it is revoked by me.

Yours faithfully,

Date : 21/01/2022

F7 

Mobile declaration

Voluntary

I AKSHITH N having PAN BM SM S6114A do hereby declare that my mobile no. is 7755331144 Further, I authorize ZERODHA that the same may be used for giving me any information/ alert/SMS.


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

F8 

Client defaulter declaration

Voluntary

I AKSHITH N having PAN BMSMS6114A do hereby declare that I have not been involved in any unlawful activities and I have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchange/ Regulatory bodies, etc. I further declare that the above mentioned declaration/ statement is true and correct.

 F9
Client Signature

To
Zerodha Broking Limited
153/154, 4th Cross, Dollars Colony, 4th Phase, JP Nagar, Opp. Clarence Public School, Bangalore - 560078.

Sub: Acknowledgement

This is to acknowledge the receipt of following documents. I further state and confirm that I have read and understood all the clauses of aforesaid documents.

| Sl. No | Brief significance of the Document |
|--------|---|
| 1 | Duly Executed Copy of KYC |
| 2 | Rights and Obligations |
| 3 | Risk Disclosure document (RDD) for Capital, Derivatives, and Currencies Segments |
| 4 | Guidance Note - Do's and Dont's for trading on the Exchange(s) for investors |
| 5 | Zerodha Tariff Sheet |
| 6 | Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009 |
| 7 | General Terms & Conditions governing securities trading and broking services of Zerodha |
| 8 | Running account authorisation, Mobile declaration & Client defaulter declaration |

I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of Zerodha

Yours faithfully,

Client Name : AKSHITH N

 F10
Client Signature

Date : 21 01 2022

Zerodha Broking Ltd.

153/154, 4th Cross, 4th Phase, JP Nagar, Dollars Colony,
Opp. Clarence School, Bangalore - 560078

| Schedule-A Tariff Structure | |
|---|---|
| For individuals/HUF/corporates | |
| Details | POA Clients |
| | Option-1 |
| Stamp charges payable upfront | Rs.50/- |
| Annual Maintenance Charges (charged quarterly) | |
| a. Individuals/Non Individual (except Corporate & NRIs) | Rs.300/- + GST |
| b. Non Individual - Corporate | Rs.1000/- + GST |
| b. NRIs | Rs.500/- + GST |
| Transaction Charges : (Market Trades) | |
| Buy(Receive) / Sell (Debit) | Nil / Rs.8/- + Rs 5.50/- (CDSL Charges) |
| Transaction Charges : (Off-Market Trades) | |
| Buy(Receive) / Sell (Debit) | Nil / 0.03% or Rs.25/- whichever is higher |
| Demat (Per certificate) | Rs. 150/- per certificate |
| Remat (Per certificate) | Rs. 150/- per certificate + CDSL Charges |
| Courier charges per Demat/Remat/Demat Rejn./CMR | Rs. 100/- |
| Pledge Request | Rs. 20/- + Rs. 12 per request (CDSL Charges) |
| Unpledge Request | Rs. 20/- + Rs. 12 per request (CDSL Charges) |
| Pledge invocation | Rs. 20/- |
| Margin Pledge | Rs. 9 + Rs. 5 per request (CDSL Charges) |
| Margin Unpledge | Rs. 9 + Rs. 5 per request (CDSL Charges) |
| Margin Repledge | Rs. 2/- (CDSL charges) |
| Periodic Statement | |
| By Email / Physical | Free / Rs. 50/- (+ Courier charges at actual) |
| Adhoc / Non Periodic Statement Requests | |
| a. By Email | Rs.10/- per request |
| b. Physical | Rs. 50 per request upto 10 pages. Every additional page at Rs. 5 (+ Courier charges at actual) |
| Delivery instruction | |
| a. First Delivery Instruction Book | Free (10 Leaves) |
| b. Every Addl Booklet (10 Leaves) | Rs.100/- |
| Cheque Bounce Charges | Rs. 350/- |
| Failed Transactions | Rs. 50 per ISIN |
| Modification in CML | Rs. 25/- per request |
| KRA Upload / Download | Rs. 50/- |

NOTE :

For all purposes the bill date shall be construed as the date demand and the bills will be considered as the bill cum notice for payment and Zerodha Broking Ltd. reserves the right to freeze depository account for debit transaction in case of non payment of charges after two days from the bill date.

The above tariff is subject to change. Changes if any will be intimated 30 days in advance Annual Maintenance Charge (AMC) is non refundable. GST is applicable on all above charges except stamp charges.

F11

S1

T1

Sign wherever you see

Annexure E

Voluntary

Option form for issue of DIS booklet

Date : 21/01/2022

DP ID

Client ID

| | |
|--------------------|-----------|
| First Holder Name | AKSHITH.N |
| Second Holder Name | |
| Third Holder Name | |

To,

Zerodha Broking Ltd.

153/154, 4th Cross, Dollars Colony, 4th Phase, JP Nagar, Opp. Clarence Public School, Bangalore - 560078.

Dear Sir,

I/We hereby state that: [select one of the option given below]

Option 1:

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I/ We have issued a Power of Attorney (POA) in favour of Zerodha Broking Ltd. for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member.

OR

Option 2:

I/We do not require the Delivery Instruction Slip(DIS)for the time being. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

I/We hereby select Option 1 ☐ Option 2 ☐

| | |
|-----|--|
| F15 | First/ Sole Holder Guardian (in case of Minor) |
|-----|--|

| | |
|----|---------------|
| S5 | Second Holder |
|----|---------------|

| | |
|----|--------------|
| T5 | Third Holder |
|----|--------------|

Client E-mail ID

Optional

AKSHITH755@REDDIFMAIL.COM

Client Mobile Number

7755331144

Declaration

I hereby declare that the mobile no./email ID mentioned in the Account opening form/ request for change in mobile no./email ID is my own

Request letter for registration of mobile no./email ID of person belonging to the client's family

Please note that the mobile no./email id/both mentioned in the Account opening form/ request for change in mobile no./email ID belongs to Mr/Mrs./Ms. _____ who is my
[relationship with the client]

| | |
|-----|--|
| F16 | First/ Sole Holder Guardian (in case of Minor) |
|-----|--|

[Only the mobile no./email id of your spouse, dependent children and dependent parents can be registered in your demat account]

Nomination Details - Annexure 1A

☒ Zerodha Broking Limited☐ Zerodha Commodities Private Limited

Date


21/01/2022


I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

| | | | | |
|------|------------|-----|----------|----------|
| Name | AKSHITHA N | UCC | Demat ID | 12081600 |
|------|------------|-----|----------|----------|

Nomination Details

| Up to 3 nominations can be made | | Details of 1st Nominee | Details of 2nd Nominee | Details of 3rd Nominee |
|--|--|------------------------|---|------------------------|
| Name of the nominee(s) (Mr./Ms.) | | KEERTHI KUMAR | | |
| Share of each nominee | <input type="checkbox"/> Distribute equally (If not equally shared, please specify %age) | 100% | Any odd lot after division shall be transferred to the first nominee mentioned in the form. | |
| Relationship With the Applicant (if any) | | BROTHER | | |
| Address of nominee(s) | | SAME AS APPLICANT | | |
| Mobile/Telephone no. of nominee(s) | | | | |
| Email ID of nominee(s) | | | | |
| Proof of identity submitted | | | | |
| Fill below details only if the nominee is a minor | | | | |
| Date of birth | | | | |
| Name of the guardian | | | | |
| Address of guardian(s) | | | | |
| Mobile/Telephone no. of guardian(s) | | | | |
| Email ID of guardian(s) | | | | |
| Relationship of guardian with nominee | | | | |
| Proof of identity submitted | | | | |


F17
(In case of minor)


S6
Successor


T6
Trading Member

Note:

- This nomination shall supersede any prior nomination made by the account holder(s), if any.
- The Trading Member / Depository Participant shall provide acknowledgment of the nomination form to the account holder(s).

Zerodha Broking Ltd.

153/154, 4th Cross, 4th Phase, JP Nagar, Dollars Colony,
Opp. Clarence School, Bangalore - 560078

Date : 21/01/2022

Declaration form for opting out of nomination (Annexure 1B)

To,
Zerodha Broking Ltd.


153/154, 4th Cross, Dollars Colony,
4th Phase, JP Nagar, Opp. Clarence Public School, Bangalore -
560078.

DP ID 12081600

Client ID

| | |
|--------------------|-----------|
| First Holder Name | AKSHITH N |
| 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.


F17 First Holder
(Signature of Holder)


S6 Second Holder


T6 Third Holder

Note: You can add a nominee to your account online on console.zerodha.com after the account is opened.

From,

AKSHITH.N

MANDINSON

To,

Zerodha Broking Ltd, 153/154

4th Cross 4th Phase,

JP Nagar Opp Clarence School,

Bangalore-560078

Subject: Declaration for Confirmation of Signature

Sir/Madam,

This letter is to confirm that all signatures placed on the account opening forms, and all such other documents towards Zerodha Broking Limited or any of its group entities, are done solely by me with complete knowledge of all such terms and clauses contained therein.

I/We, the undersigned, would like to request Zerodha Broking Limited or any of its group entities to accept the signed account opening forms and documents, even in case there may be slight variations on a few pages/areas of the document.

I/We, the undersigned, further would like to represent and warrant that in case of any misrepresentation with respect to the signatures placed on the account opening forms or all such documents towards Zerodha Broking Limited or any of its group entities by me/us, I/We will indemnify Zerodha Broking Limited and its directors/employees/agents for all such actions.

Yours faithfully,

Signature:

A

Name:

AKSHITH.N

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

Tel. (Off)

Tel. (Res)

Mobile 77-55331144

Email ID

AKSHI7755@REDDITFMATL.COM

☐ 5. REMARKS (If any)

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. 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.

Date : 21-01-2022

Place: MANDINSON

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]

Date 21-01-2022

To,
Zerodha Broking Limited,
153/154, 4TH Cross, J P Nagar, 4th Phase,
Bangalore-560078
Karnataka

Dear Sir / Madam,

Re : Application No. _____

Sub : Declaration towards address provided in the account opening form {NRI / FN}

This has reference to my / our application for opening of a demat account with you

In this connection, please find below our residential address:

606 BLACKBERRY
COURT MANDINSON
NEW JERSEY
USA 3313

Further, I/ we confirm that in case of any change in our above residential address, the same will be brought to your notice

Thanking you,

Yours truly,

A

Sole / First Holder
Authorised Signatory

Second Holder /
Authorised Signatory

Third Holder /
Authorised Signatory

Addendum to Individual Account opening form 7 December 2015


Annexure to Account opening Form for Individuals containing information for reporting requirement under Section 285BA of the Income-tax Act, 1961 and KYC.

Background:

1. India has joined the Multilateral Competent Authority Agreement (MCAA) on Automatic Exchange of Financial Account Information (AEOI) on June 3, 2015 and has agreed to certain global standards on automatic exchange of information, known as Common Reporting Standards (CRS). Further, the Government of India (GoI) signed an Inter-Governmental Agreement (IGA) with United States of America (USA) on July 9, 2015 to improve international tax compliance and to implement Foreign Account Tax Compliance Act (FATCA) in India.
2. To implement the CRS on AEOI and also the IGA with USA, the GoI has made necessary amendments in Section 285BA of the Income-tax Act, 1961 and notified Rules 114F to 114H in the Income-tax Rules, 1962 vide amendment dated August 7, 2015. These Rules are available on: <http://www.incometaxindia.gov.in>.
3. SEBI has issued a circular dated August 26, 2015 advising all registered intermediaries to implement FATCA and CRS as per above mentioned Rules.

We do understand that the information mentioned above is technical in nature and hence we advise you to consult your financial or tax advisor for more details.

| | | | | |
|---|---|--|--|---|
| Applicant's Name : AKSHITH N | | | | |
| Client Id / Form No : | | Father's name : NAGARAJ | | |
| PAN : BMSMS61KA | | Place of Birth(City) : BANGALORE | | Country of Birth : INDIA |
| Gender : <input checked="" type="checkbox"/> M – Male <input type="checkbox"/> F – Female <input type="checkbox"/> O – Others | | Nationality : <input checked="" type="checkbox"/> Indian <input type="checkbox"/> Other (Please specify the name of country) : | | |
| Occupation Type: | | <input checked="" type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="checkbox"/> Not Categorized | | |
| Address Type : <input type="checkbox"/> Residential Or Business <input checked="" type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified | | | | |
| City/ Town : MANDINSON | | State : NEW JERSEY | | |
| Country : USA | | Postal Code: 3313 | | |
| 1. Declaration of Tax Residency / Citizenship Country of tax residence India - Yes / No. 2. Tax resident of Multiple Countries – Yes / No If tax resident of multiple countries, kindly provide information of tax residence of all countries. If Point 1 is Yes and Point 2 is No, no further information required to be provided. If Point 1 is No OR if both Point 1 and 2 are Yes, then the following should be provided alongwith with documentary evidence: | | | | |
| Country/countries of tax residency | Tax Identification Number (TIN)/ functional equivalent number | TIN / functional equivalent Issuing Country | Documents provided (copy of certificate of tax residence or copy of TIN or others) | Date upto which the documentary evidence is valid |
| USA | 2233233 | USA | SSN/TIN | 21/01/2024 |



Signature of the Applicant

Remarks if any :

Declaration and Undertakings

The Customer/account holder certifies that:

- a. The information provided in the Form is in accordance with Section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income-tax Rules, 1962.
- b. the information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise.
- c. I/We permit/authorise the Company to collect, store, communicate and process information relating to the Account and all transactions therein, by the Company and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.
- d. I / We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by us or if any certification becomes incorrect and to provide fresh self certification alongwith documentary evidence.
- e. I / We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and the Company would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GOI) /Reserve Bank of India for the purpose or take any other action as may be deemed appropriate by the Company if the deficiency is not remedied by us within the stipulated period.
- f. I / We hereby accept and acknowledge that the Company shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to the Company.
- g. It shall be my responsibility / our responsibilities to educate myself / ourselves and to comply at all times with all relevant laws relating to reporting under Section 285BA of the Act read with the Rules thereunder.
- h. I/We also agree to furnish such information and/or documents as the Company may require from time to time on account of any change in law either in India or abroad in the subject matter herein.
- i. I/We shall indemnify the Company for any loss that may arise to the Company on account of providing incorrect or incomplete information.

Date : 21/01/2022

Place: MANDINSON



Signature of the Applicant

FEMA Declaration

To,
Zerodha Broking limited
 153/154, 4th Cross, Dollars Colony,
 Opp. Clarence Public School,
 JP Nagar 4th Phase,
 Bangalore – 560078

Dated

21/01/2022

Dear Sir,

Re: Application Number: _____

Sub: Application for opening of an NRI/FN/FCB account

This has reference to my/our application for opening of a trading & demat account with you.

In this connection, I/we hereby declare that I/we have complied and will continue to comply with FEMA Regulations with respect to buying and selling of securities in the Indian Capital Market.

Thanking you,

Yours truly,

Signature of the First/Sole Holder/Authorised signatory

