

Know Your Client (KYC) Application Form - for Individuals

Please fill this form in English and BLOCK Letters

(Please tick the box on the left margin of the appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding window)

For office use only (To be filled by the financial institution)

Application Type* ☐ New ☐ Update KYC Number
 Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

A. Identity details

<input type="checkbox"/>	1. Name (Same as ID Proof)	Raju . S
	1a. Maiden Name (If any)	
<input type="checkbox"/>	2. Father's/Spouse's Name	Guru Prasadh
	2a. Mother's Name	Neela



☐ 3a. Gender ☒ Male ☐ Female ☐ Transgender 3b. Marital Status ☒ Single ☐ Married ☐ Other 3c. DOB 10/02/1996

☐ 4a. Citizenship ☒ Indian ☐ Other (ISO 3166 Country Code)

☐ 4b. Residential Status ☒ Resident Individual ☐ Non Resident Indian ☐ Person of Indian Origin ☐ Foreign National

Tick if applicable ☐ Residence for tax purposes in jurisdiction(s) outside India

ISO 3166 Country Code of Jurisdiction of residence Place of birth
 Tax Identification Number or Equivalent ISO3166 Country Code of Birth

5a. PAN ABCDE1234F

5b. Unique Identification Number (UID) / AADHAR

6. Proof of Identity Submitted ☐ Pan Card ☐ Other (Please Specify)

B. Contact Details

Telephone (Office)	Mobile No	9900011124
Telephone (Residence)	Email ID	Raju.s@gmail.com

C. Address details Address Type: ☐ Residential ☐ Business ☐ Unspecified

2. Residence/Correspondence Address

Address				11/4 10th Cross Magadi Road			
City/Town		District		Pin Code		560023	
State/U.T Code		Country/ISO Code					
Specify the Proof of Address Submitted for Residence / Correspondence Address							

D. DECLARATION

I/We declare that the details furnished above are true and correct to the best of my knowledge and undertake all liabilities w.r.t any incorrect information, I also confirm to inform Zerodha w.r.t any changes in the future. I/We are also aware that for Aadhaar OVD based KYC, my KYC shall be validated against my Aadhaar. I/We hereby consent to sharing my/our masked Aadhaar with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I/We or Zerodha have a business relationship for KYC purposes only. I/We hereby consent to receiving information from CVL KRA & C-KYC Registry through SMS/Email on the above registered number/Email ID.

Place :

Date : DDMMYY

Client Signature

FOR OFFICE USE ONLY

In Person Verification (IPV) Details:

Name of the Person who has done the IPV:

Designation: Employee ID:

Name of the Organization: Zerodha Commodities Pvt. Ltd.

Date of the IPV: DDMMYY

Signature of the Person who has done the IPV

Seal/Stamp of the Intermediary

☐ Originals Verified and Self-Attested Document Copies Received

Date

Signature of the Authorized Signatory

C. 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 NTL

D. Depository account(s) detailsDepository Name: NSDL ☐CDSL ☒

Depository Participant Name	Zerodha Broking limited		
Beneficiary Name	Raju S		
Depository ID	12081601	Beneficiary ID	

E. Dealings through other stock brokers

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

Name of Stock Broker		Sub Broker, if any	
Client Code		Exchange(s)	
Website			
Details of disputes/dues pending from/to such stock broker			

F. Introducer details (optional)

Name of the Introducer			
Status of the Introducer - Sub-broker/Remisier/Authorized Person/Existing Client			
Address of the Introducer			
Phone Number		Signature (optional)	

G. Trading preferences / experienceNo Prior Experience ☒

Years in Equities		Years in Derivatives		Years in other Investment Related Field	
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Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

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

Exchanges	BSE & NSE				
Segments	Cash/Mutual funds	F&O	Currency	Debt	Commodity derivatives
	<input checked="" type="checkbox"/> F3 (a)	<input checked="" type="checkbox"/> F3 (b)	<input checked="" type="checkbox"/> F3 (c)	<input checked="" type="checkbox"/> F3 (d)	<input checked="" type="checkbox"/> F3 (e)

If you do not wish to trade in any segment/mutual fund, please mention here _____

H. Additional details(I) Whether you wish to receive (a) Physical contract note ☐(b) Electronic Contract Note (ECN) ☒

If ECN Specify your Email ID

RAJU. @GMAIL.COM

(II) Whether you wish to avail the facility of internet trading/wireless technology/mobile trading

Yes ☒No ☐**I. Nomination details** (Please tick the appropriate options)☒ I / We do wish to nominate (Fill Annexure 1A)☐ I / We do not wish to nominate (Fill Annexure 1B)

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 RATU S

Place BANGALORE

Date : 02/11/2023


F4 Client Signature

Tariff sheet

To

Zerodha Broking Limited

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

Charges for Zerodha Trading Services

I/ We agree to pay the charges as per following charges structure for our Trading account with Zerodha effective 02/11/2023

Client ID: _____

Charge Head	Brokerage / Charges
Equity Intraday	Rs. 20 per executed order or 0.03% of Turnover whichever is lower
Equity Delivery	Zero Brokerage
Futures	Rs. 20 per executed order or 0.03% of Turnover whichever is lower
Options	Rs. 20 per executed order
Currency Futures	Rs. 20 per executed order or 0.03% of Turnover whichever is lower
Currency Options	Rs. 20 per executed order
Call & Trade Services	Rs. 50 per order placed through a Dealer at Zerodha
NRI - Equity Delivery	Rs. 200 per executed order or 0.5% of Turnover whichever is lower
NRI - Futures & Options	Rs. 100 per executed order placed using a CP code
NRI - NRO non-PIS account	Rs. 100 per executed order or 0.5% of Turnover whichever is lower

Disclaimer: For Delivery based trades, a minimum of Rs. 0.01 will be charged per contract note. Clients who opt to receive physical contract notes will be charged Rs. 20 per contract note plus courier charges. A brokerage of 0.5% of the contract value will be charged for contracts where physical delivery happens. In addition to the brokerage charge the following charges will also be levied. If the account is in debit balance, any order placed will be charged Rs. 40 per executed order instead of Rs. 20 per executed order.

Schedule of Charges:


1. Exchange transaction charges | 2. Clearing charges | 3. Securities Transaction Tax | 4. Goods & Services Tax | 5. SEBI Turnover fees | 6. Stamp Duty : State-wise stamp duty as applicable will be levied

Note : Brokerage will not exceed the rates specified by SEBI and the Exchanges

All Statutory and Regulatory charges will be levied as per exchange, SEBI, and depository circulars published from time to time.

Brokerage is also charged on expired, exercised, and assigned Options contracts

Charges for other value added services will be applicable at the time of availing such service, upon your consent. Detailed explanation of all charges is available online at : <https://zerodha.com/charge-list>


F5 Client Signature

For office use only

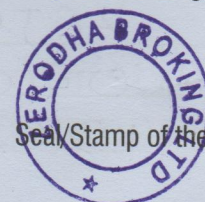
UCC Code allotted to the Client _____

	Documents verified with originals	Client interviewed by	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of 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.

Signature of the Authorised Signatory

Date : 02/11/2023



Seal/Stamp of the stock broker

Zerodha**Voluntary**

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

Sub: Voluntary Undertaking/Authorisation

With respect to member-constituent relationship and mandatory and voluntary (optional) documents executed between us, I/we do hereby authorize Zerodha to do the following:

1. ORDER PLACEMENT INSTRUCTIONS

I understand that you require written instructions from me for placing/modifying/cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting/calling/emailing the call centre/branch specified for the said purpose by Zerodha in case of breakdown of internet connectivity or other similar reasons. I hereby request you to kindly accept my verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other approved modes. I/we also agree that non-receipt of bounced mail notification by you shall amount to delivery of contract note at my/our email ID. I indemnify Zerodha and its employees against all trade related losses, damages, actions which you may suffer or face, as a consequence carrying out my instructions for orders placed verbally

2. ERRORS AND OMISSIONS

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances Zerodha shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold Zerodha responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by Zerodha.

3. NO MARKET MANIPULATION

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, Zerodha has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

4. NOT TO ACT AS UNREGISTERED SUB BROKER

I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients. In case I wish to deal for other clients also, I undertake to apply to SEBI through Zerodha to obtain a sub broker registration. In case Zerodha perceives that I am acting as an unregistered sub broker, Zerodha has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to Zerodha without the requirement of any notice from Zerodha. Further, Zerodha has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify Zerodha from any loss/ damage/claim arising out of such activity.

5. NOT DEBARRED BY ANY REGULATOR

I confirm and declare that there is no bar on me imposed by any Exchange or any regulatory and/or statutory authority to deal in securities directly or indirectly. I agree to inform Zerodha, in writing, of any regulatory action taken by any Exchange or regulatory/statutory authority on me in future. In case I fail to inform the same and Zerodha on its own comes to know of such action, Zerodha has the right to suspend/close my trading account and refuse to deal with me. Also, Zerodha can at its sole discretion, close all the open positions and liquidate collaterals to the extent of trade related debit balances, without any notice to me.

6. PMLA DECLARATION

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by Zerodha officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that;

- a. I do not have any links with any known unlawful persons/institutions
- b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

7. INDEMNIFICATION I hereby indemnify and hold Zerodha, its Directors and employees harmless from and against all trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the Zerodha directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

INDEMNITY OF JOINT HOLDINGS

I hereby agree to indemnify and hold Zerodha harmless from any trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

8. BSE STAR MUTUAL FUND FACILITY

I am interested in availing the StAR Mutual Fund facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the StAR platform of the Exchange. For the purpose of availing the StAR Mutual Fund facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of StAR and I/we further confirm that the details contained in same remain unchanged as on date. I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also 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). I shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me.

9. DELAYED PAYMENT CHARGES

I understand that in case my account is in debit balance due to utilisation of funds over and above the available funds, and my account goes into negative balance, I will be charged interest at 0.05% per day or 18% per annum on such debit balance. For derivative positions, it is a requirement by the Exchanges that 50% of the margins be fulfilled in the form of cash or cash equivalent. The other 50% may be satisfied by providing non-cash collateral as margin. I acknowledge that failure to maintain sufficient cash margin and resorting to the use of non cash collateral to fulfil derivative margin requirement will result in a delayed payment charge of 0.035% per day.

10. NRI DECLARATION

I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to Zerodha every time the investment is made.

11. THIRD-PARTY PAYMENTS

Zerodha shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along with adequate proof thereof as per proforma prescribed by Zerodha. Zerodha shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third-party payment has been accepted by Zerodha and the credit for the same has been given in the client's ledger, Zerodha shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, Zerodha reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. Zerodha, its Directors and employees shall not be responsible for any consequential damages or losses.

12. NO DEALINGS IN CASH

Zerodha as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub-Broker/ Remisier/Employee/Authorised Person of Zerodha.

13. DISCLOSURE OF PROPRIETARY TRADING BY ZERODHA

Pursuant to SEBI Circular Number SEBI/MRD/SEC/Cir-42/2003 dated November 19, 2003, Zerodha discloses to its clients about its policies on proprietary trades. Zerodha does proprietary trades in the cash and derivatives segment at NSE & BSE.


14. DELIVERIES

The client shall ensure that the shares are properly transferred to the designated demat account of Zerodha, for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchanges/Zerodha. In case the client fails to transfer the shares on time to Zerodha, Zerodha shall not be responsible for any loss/damages arising out of such delayed transfers.

15. SQUARING OFF OF POSITIONS & SALE /LIQUIDATION OF COLLATERAL MARGINS (to the extent of Settlement Margin obligation)

The client shall settle the transactions, within the Exchange specified settlement time, by making the requisite payment of funds and/or delivery of the shares. In case the client fails to settle the transactions within the settlement date, then Zerodha has the right to square off the open and/or unpaid positions, at an appropriate time, as it deems fit, without any notice to the client. The client shall not have any right or say to decide on the timing of closure of the open positions that needs to be closed. Zerodha, its Directors and Employees shall not be responsible for any trade related loss or damages arising out of such square offs. All such square off transactions shall have implied consent and authorization of the client in favour of Zerodha.

After such square off of open positions by Zerodha, as mentioned in above clauses, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balance, Zerodha shall have the right to liquidate the shares and other securities of the client (kept as collateral/margin) to the extent of the debit balance, without any intimation to the client. The client shall not have the right to decide on the timing of liquidation of shares and securities held in collateral/margin and the shares and securities that needs to be sold or liquidated. Zerodha, its Directors and employees shall not be responsible for any trade related loss or damages arising out of such selling.


 Client Signature

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.

Date : 02/11/2023

Yours faithfully,

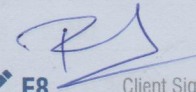

F7 Client Signature

Mobile declaration

Voluntary

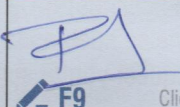
I RAGU.S having PAN ABCDE1234F do hereby declare that my mobile no. is 9900011124 Further, I authorize ZERODHA that the same may be used for giving me any information/ alert/SMS.

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


F8 Client Signature

Client defaulter declaration
Voluntary

I RAJU S having PAN ABCDE1234F 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 : RAJU S

Date : 02/11/2023


F10 Client Signature

Zerodha Broking Ltd.

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

Additional KYC Form for Opening a Demat Account

For Individuals

(To be filled by the Depository Participant)

Application No	Date <u>02/11/2023</u>	DP Internal Reference No
DP ID	Exchange NSE/BSE UCC	Client ID

(To be filled by the applicant in BLOCK LETTERS in English)

I/We request you to open a demat account in my/ our name as per following details:-

Holder Details

Sole / First Holder's Name	UID
PAN <u>ABCDE1234F</u>	UID
Second Holder's Name	UID
PAN	UID
Third Holder's Name	UID
PAN	UID

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

Type of Account (Please tick whichever is applicable)

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

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

Guardian's Name	PAN
Relationship with the applicant	

I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit] ☒ Yes ☐ No
(If not marked, the default option would be 'Yes')

I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No') ☐ Yes ☒ No

Account Statement Requirement ☒ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Monthly ☐ Fortnightly

I / We request you to send electronic transaction-cum-holding statement at the following ☒ Yes ☐ No

Email ID <u>RAJU. @GMAIL.COM</u>	UID
----------------------------------	-----

I / We would like to share the email ID with the RTA ☒ Yes ☐ No

I / We would like to receive the Annual Report ☐ Physical ☒ Electronic ☐ Both Physical and Electronic
(Tick the applicable box. If not marked the default option would be in Physical)

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.

I/We understand that any instruction provided by me to Zerodha to transfer securities from my account shall be rejected by Zerodha, if there is any debit balance or any unpaid amounts due as per this tariff sheet to Zerodha.

F11 First/Sole Holder
or Guardian
(in case of Minor)

S1 Second Holder

T1 Third Holder

Sign wherever you see

Date : 02/11/2023

To,

Zerodha Broking Ltd.

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

Dear Sir,

Sub : Requesting for bill/transaction/holding statement through email.

I/We request you to send me/us bill, transaction and holding statement of my CDSL Demat account no. _____
at following email address: RAJU@GMAIL.COM

I/We fully agree and are aware of following Terms and Conditions mentioned below.

- that I/We will not receive the bill, transaction and holding statements in paper form.
- that I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account.
- that I/We am/are aware that the bill, transaction and holding statements may be accessed by other entities in case the confidentiality /secrecy of the login name and password is compromised.
- that I/We in case bill, transaction and holding statements are sent by email, I/We will immediately inform the Zerodha Broking. about change in email address, if any.

In case, the Zerodha Broking is not able to provide bill/transaction statement to its Clients by email or on website due to any reason (including bounced emails), Zerodha Broking Ltd. will ensure that the transaction statement is provided to me/us in paper form as per the time schedule stipulated in the Bye Laws & Business Rules of CDSL.

I/We hereby request you to send the statements:

Daily ☐ Fortnightly ☐ Weekly ☐ Monthly ☒

Mode of Operations for Demat Account

We would like to update mode of operation in the Demat account number _____ held with Zerodha Broking Ltd. as below:

Jointly ☐ Anyone of the holder or survivor(s) ☒

We understand that If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge/hypothecation/margin pledge/margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and/or securities and/or specific number of securities will be permitted.

Yours faithfully,

First/Sole Holder
or Guardian
(in case of Minor)
F12(a)

Second Holder
S2(a)

Third Holder
T2(a)

I, the sole holder, or we, the Joint Holders confirm that we would like to designate the First Demat Account Holder (who is a Resident Indian Individual) of our account to receive the CDSL TPIN (or any such other similar PIN as required by any or all Depositories to transact as per the e-DIS facility offered by such Depository) on his/her mobile/email address for execution/permission of all such transactions & ancillary facilities to be availed via such mechanism from any or all Depositories.

Declaration

I/We have received and read the Rights and Obligations documents and terms & conditions and agree to abide by and be bound by the same and the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true to the best of my/our knowledge as on the date of making this application.

I/We agree and undertake to intimate the DP of any change(s) in the details/particulars mentioned by me/us in this form.

I/We further agree that any false/misleading information given by me/us or suppression of any material information will render my account liable for termination and suitable action.

First/Sole Holder
or Guardian
(in case of Minor)
F12(b)

Second Holder
S2(b)

Third Holder
T2(b)

Annexure E

Option form for issue of DIS booklet

Voluntary

Date : 02/01/2022

DP ID

Client ID

First Holder Name	
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:

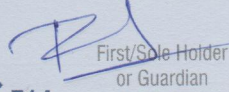
I/We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I/ We have issued a Power of Attorney (POA)/Demat Debit and Pledge Instruction (DDPI) in favour of Zerodha Broking Ltd. for executing delivery instructions for settling stock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

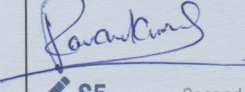
OR

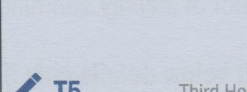
Option 2:

I/We do not require the Delivery Instruction Slip (DIS) for the time being, Since I/We have issued a POA/DDPI in favour of Zerodha Broking Ltd. for executing the delivery instructions for settling stock exchange trades [settlement related transaction] effected through such Clearing Member. 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 ☒


 F14 First/Sole Holder
 or Guardian
 (in case of Minor)


 S5 Second Holder


 T5 Third Holder

Client E-mail ID

Optional

RAJU. @ ET MAIL. COM

Client Mobile Number

9900011124

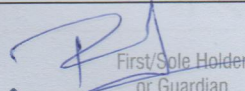
Declaration

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]


 F15 First/Sole Holder
 or 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


Date

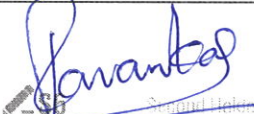
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.


Name	Rajus	UCC		Demat ID	
------	-------	-----	--	----------	--

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.)	Ajith	Shiva	
Share of each nominee <input type="checkbox"/> Distribute equally (If not equally shared, please specify %age)	50%	50%	
Relationship With the Applicant (if any)	Brother	Brother	
Address of nominee(s)	123 4th Main chennai 600001	78/6 6th Main Bangalore - 560023	
Mobile/Telephone no. of nominee(s)	9876543210	9876543211	
Email ID of nominee(s)	Ajith@grail.com	shiva@grail.com	
Proof of identity submitted (with ID number)	PAN ABCDEF1234F	PAN ABCDEF1245F	
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			


First/Sole Holder
of Guardian
(in case of Minor)


Second Holder


T6
Third Holder

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 : 02/11/2023

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


Client ID

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.

 **F17** First/Sole Holder
or Guardian
(in case of Minor)

 **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,

RAJU S

To,
Zerodha Commodities Pvt. Ltd.,
153/154, 4th Cross 4th Phase,
JP Nagar Opp Clarence School,
Bangalore-560078

Subject: Declaration for Confirmation of Signature

Sir/Madam,

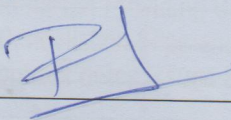
This letter is to confirm that all signatures placed on the account opening forms, and all such other documents towards Zerodha Broking Limited or any of its group entities, are done solely by me with complete knowledge of all such terms and clauses contained therein.

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:



Name:

RAJU S

2nd Holder



Know Your Client (KYC) Application Form - for Individuals

Please fill this form in English and BLOCK Letters

(Please tick the box on the left margin of the appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding window)

For office use only (To be filled by the financial institution)

Application Type* ☐ New ☐ Update KYC Number
 Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

A. Identity details

<input type="checkbox"/> 1. Name (Same as ID Proof)	PAVAN KUMAR R
1a. Maiden Name (If any)	
<input type="checkbox"/> 2. Father's/Spouse's Name	RAMANANDHAN
2a. Mother's Name	SEETHA DEVI



☐ 3a. Gender ☒ Male ☐ Female ☐ Transgender 3b. Marital Status ☒ Single ☐ Married ☐ Other 3c. DOB 05/06/1998
☐ 4a. Citizenship ☒ Indian ☐ Other (ISO 3166 Country Code)
☐ 4b. Residential Status ☒ Resident Individual ☐ Non Resident Indian ☐ Person of Indian Origin ☐ Foreign National

Tick if applicable ☐ Residence for tax purposes in jurisdiction(s) outside India

ISO 3166 Country Code of Jurisdiction of residence Place of birth BENGALURU

Tax Identification Number or Equivalent ISO3166 Country Code of Birth

5a. PAN ABFCPI080M

5b. Unique Identification Number (UID) / AADHAR

6. Proof of Identity Submitted ☐ Pan Card ☐ Other (Please Specify) _____

B. Address details

☐ 1. Contact Details

Telephone (Office) Mobile No 8056111890
 Telephone (Residence) Email ID Parano672@gmail.com

☐ 2. Residence/Correspondence Address Address Type: ☐ Residential ☐ Business ☐ Unspecified

Address #05 Ajay layout, Bannerghatta Road, Kalkere
 City/Town Bengaluru District Pin Code 560078
 State/U.T Code Karnataka Country/ISO Code
 Specify the Proof of Address Submitted for Residence / Correspondence Address

C. DECLARATION

I/We declare that the details furnished above are true and correct to the best of my knowledge and undertake all liabilities w.r.t any incorrect information, I also confirm to inform Zerodha w.r.t any changes in the future. I/We are also aware that for Aadhaar OVD based KYC, my KYC shall be validated against my Aadhaar. I/We hereby consent to sharing my/our masked Aadhaar with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I/We or Zerodha have a business relationship for KYC purposes only. I/We hereby consent to receiving information from CVL KRA & C-KYC Registry through SMS/Email on the above registered number/Email ID.

F2 Client Signature

Date: DDMMYY

FOR OFFICE USE ONLY

In Person Verification (IPV) Details:

Name of the Person who has done the IPV: _____

Designation: _____ Employee ID: _____

Name of the Organization: ZERODHA BROKING LTD.

Date of the IPV: DDMMYY Signature of the Person who has done the IPV _____

Seal/Stamp of the Intermediary _____

☐ Originals Verified and Self-Attested Document Copies Received

Date _____

Signature of the Authorized Signatory _____

Sign wherever you see

☐ 4. Address in the jurisdiction details where applicant is resident outside India for tax purpose (if applicable)

D. Details of related person (In case of additional related persons, please fill below details)

☐ Addition of Related Person ☐ Deletion of Related Person[illegible]

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

(If KYC number & name are provided, below details are optional)

Proof Of Identity Of Related Person

Expiry Date :

D	D	M	M	Y	Y	Y	Y
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Trading account related details

A. Bank account details

Account Type: Savings ☐ Current ☐ Others ☐ | In case of NRI Account: NRE ☐ NRO ☐

B. Other details

Gross Annual Income Details (please specify): Income Range per annum

Below Rs 1 Lakh ☒ 1-5 Lakh ☐ 5-10 Lakh ☐ 10-25 Lakh ☐ 25 Lacs to 1 Cr ☐ >1Cr ☐

Or Net-worth as on _____ date _____ (Net worth should not be older than 1 year)

Occupation

Private Sector ☒ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐
Housewife ☐ Student ☐ Self Employed ☐ Others (please specify) _____

Mode in which you wish to receive the RDD, Rights & Obligations, and Guidance Note: Physical ☐ Electronic ☐

Please tick, if applicable: Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐

In what capacity do you trade commodities?

Farmer/Farmer Producer Organisation ☐ Value Chain Participant ☐ Others ☐

☒ Zerodha

☐ Zerodha

I/We v
shall r

Name

Nominati

Up to 3

Name

Share

Relati

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From,

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,

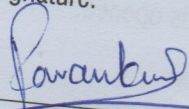
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I/We, the undersigned, would like to request Zerodha Broking Limited or any of its group entities to accept the signed account opening forms and documents, even in case there may be slight variations on a few pages/areas of the document.

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:



Name: