

TRADING ACCOUNT RELATED DETAILS

A. Gross Annual Income Details (please specify): Income Range per annum: () Below Rs 1 Lac () 1-5 Lac () 5-10 Lac () 10-25 Lac () 25 Lacs-1 crore () > 1 crore

B. Net-worth as on (date).....(dd/mm/yyyy): _____ (Net worth should not be older than 1 year)

C. Please tick, if applicable, for any of your authorized signatories/ Promoters/ Partners/ Karta/ Trustees/ whole time directors/ Senior Management person:

() Politically Exposed Person (PEP) () Related to a Politically Exposed Person (PEP)

Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions by a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

D. 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

E. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary name	DPID	Beneficiary ID (BO ID)



Registered Office:
ICICI Venture House
Appasaheb Marathe Marg,
Prabhadevi,
Mumbai - 400 025



Corporate Office:
Building No. 03, Mindspace Juinagar, Plot
No. Gn-2/1/D.E.F, MIDC TTC
Industrial Area, Juinagar, Navi
Mumbai, 400706.



T (+91 22) 6807 7100



T (+91 22) 4070 1000

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Member of National Stock
Exchange of India Ltd., BSE Ltd. &
Multi Commodity Exchange of
India Ltd.

SEBI Registration: INZ000183631
CIN No: U67120MH1995PLC086241

Compliance Office (Broking Operations):

Mr. Atul Agrawal

complianceofficer@icicisecurities.com

www.icicisecurities.com

www.icicidirect.com



F. Email ID and Mobile Number

Corporate Body, Partnership Firm, Trust, Unincorporated body of individuals

I/ We further submit that the Email id.....belongs to Name _____
as per the submitted board resolution / authorization letter dated _____: (Tick One)

I/ We further submit that the Mobile Numberbelongs to: Name _____
as per the submitted board resolution/ authorization letter dated _____
(Tick One)

<u>Corporate body</u>	<u>Partnership Firm</u>	<u>Trust (Select Any One)</u>	<u>Unincorporated association or a body of individuals</u>
☐ Authorised Person operating the trading account	☐ Partner	☐ Trustees ☐ Beneficiary	☐ Authorised Person operating the trading account

For Hindu Undivided Family

I/ We further submit that the mobile number mentioned here belongs to Name _____

(☐ Karta / ☐ Co-parceners)

The email ID mentioned here belongs to Name _____

(☐ Karta / ☐ Co-parceners)

I/ We agree to receive SMS / Email alerts from Stock Exchanges on above email id / mobile number. I / We further declare that by not providing the above details, it shall be considered that I / We do not have the same to provide.

G. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade.

Trading Preference	
CASH (NSE, BSE)	F&O (NSE, BSE)
 (Signature of authorized signatory)	 (Signature of authorized signatory)

H. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors:

I. DIN/UID of Promoters/Partners/Karta and whole time directors:

J. 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:

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K. DEALINGS THROUGH AUTHORISED PERSONS AND OTHER STOCK BROKERS

If client is dealing through the Authorised person, provide the following details:

Authorised person's Name:SEBI Registration number:

Registered office address: Ph: Fax: Website: Whether dealing with any other stock broker/authorized person (if case dealing with multiple stock brokers/authorised person, provide details of all)

Name of stock broker: Name of Authorised person, if any:

..... Client Code: Exchange:

Details of disputes/dues pending from/to such stock broker/Authorised person

L. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): (Specify your Email id, if applicable): Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):

We wish to receive standard account opening documents in Physical ☐

Electronic ☐

M. Number of years of Investment/Trading 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:

.....(Please use annexure)

Any other information:

N. INTRODUCER DETAILS (OPTIONAL)

Name of the Introducer:

(Surname)

(Name)

(Middle Name)

Status of the Introducer: Remisier/Authorized Person/Existing Client/Others, please specify.....

Address and phone no. of the Introducer:Signature of the Introducer:

O. Brokerage Applicable:

Sr. No.	Segment	Brokerage	Sign. of Client
1	Cash		
2	Stock Futures		
	Index Futures		
	Index Options		
	Stock Options		

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 received and read and understood the contents of the 'Rights and Obligations' document(s), Risk Disclosure Document, Guidance Note – Do's and Don'ts for the Clients and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents.

Place -----

Date -----

Signature of Authorised Signatory

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker’s Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

Signature of the client _____

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.

Signature of Authorised Signatory

Date

Seal/Stamp of ICICI Securities Limited