

ACCOUNT OPENING KIT

INDEX

Sr. No.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A.KYC form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to Trading account.	03-08
2	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for Trading on the stock exchange(s)	08
3	Most Important Terms and conditions (MITC)	MITC prescribed by SEBI (applicable only for non-custody settled clients)	10
4	Rights and Obligations (Equity and Derivatives segment)	Document stating the Rights & Obligations of stock broker/trading member and client for trading on exchanges	Annexure -1
5	Risk Disclosure Document (Equity and Derivatives segment)	Document detailing risks associated with dealing in the securities market.	Annexure -1
6	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	Annexure -1
7	Policies and Procedures	Document describing significant policies and procedures of the stock broker	Annexure -1
8	Investor Charter	Investor Charter prescribed by SEBI	Annexure -1



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

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

SEBI Registration: INZ000183631
CIN No: U67120MH1995PLC086241

Compliance Officer(Broking Operations):
Mr. Atul Agrawal

complianceofficer@icicisecurities.com
www.icicisecurities.com
www.icicidirect.com





Trading and Clearing Member's Name: **ICICI Securities Limited**

**Registered Office Address: ICICI Venture House, 2nd Floor, Appasaheb Marathe Marg, Prabhadevi, Mumbai - 400 025, India Tel.: 022-22882460/70
Fax : 022-22826455 Website : www.icicisecurities.com**

Correspondence Address: Building No. 3, Plot No. Gen- 2/1D, Gen-2/1E and Gen-2/1F, at MIDC TTC Industrial Area, Mindspace Juinagar, Bonsari, Shiravane Turbhe MIDC, Navi Mumbai – 400706

Tel: 022-40701000

Fax : 022-40701022

Website : www.icicisecurities.com

Name of Compliance Officer : Mr. Atul Agrawal, Tel: 022-40701000, Email id : iseccompliance@icicisecurities.com

Name of CEO : Mr. : Mr. T K Srirang , Tel : 022-40701000, Email id : ceo@icicidirect.com

Member of National Stock Exchange of India, BSE Ltd & Multi Commodity Exchange of India Ltd. (MCX)
SEBI Registration number INZ000183631
SEBI Research Analyst Registration Number - INH000000990
CIN No: L67120MH1995PLC086241

For any grievance/dispute please contact ICICI Securities Limited at the above address or email id headsservicequality@icicidirect.com or Call on 022-22882460. In case not satisfied with the response, please contact the concerned exchange(s) at NSE : ignse@nse.co.in , Phone : 022-26598190, BSE : is@bseindia.com , Phone : 022-22728097, MCX : grievance@mcxindia.com, Phone : 022- 022-6731 8888

Registration granted by SEBI and certification from NISM in no way guarantee performance of the intermediary or provide any assurance of returns to investors.



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KNOW YOUR CLIENT (KYC) APPLICATION FORM

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

AFFIX RECENT
PASSPORT SIZE
PHOTOGRAPH AND
SIGN ACROSS IT

A. IDENTITY DETAILS

1. **Name of the Applicant:** _____
2. **Maiden Name (if any) :** _____ **& Mother's Name :** _____
3. **Father's/ Spouse Name:** _____
4. **a. Gender:** Male/ Female / Transgender **b. Marital status:** () Single () Married () Others
c. Date of birth _____ (DD/MM/YYYY)
d. Country of birth ☐ India ☐ Others please specify _____
e. Place (City/Town) of Birth (if other than India): _____
5. **a. Nationality:** _____
b. Status: Resident Individual / Non Resident / Person of Indian origin.
6. **a. PAN:** _____ **b. UID No. / Aadhaar, if any:** _____
7. **Specify proof of Identity Submitted** _____
8. **Are you a US person** ☐ Yes ☐ No
Citizenship: ☐ India ☐ U.S Other _____
9. **Are you Taxable in country other than India** ☐ Yes ☐ No

Country / Countries of Tax Residency	Tax Identification No. (TIN) or functional equivalent (FE) of TIN

B. ADDRESS DETAILS

1. **Address for correspondence / Principal place of business:** _____
_____ **City/town/village:** _____
Pin Code: _____ **State:** _____ **Country:** _____

2. Specify the proof of address submitted for correspondence address: _____
3. **Permanent Address** (if different from above or overseas address, mandatory for Non-Resident and for applicant is resident outside India for Tax purposes): _____

City/town/village: _____
Pin Code: _____ State: _____ Country: _____
4. Specify the proof of address submitted for permanent address: _____
5. **Contact Details:** Tel. (Off.) _____ Tel. (Res.) _____ Mobile No.: _____
Fax: _____ Email id: _____
6. **Address Type:** ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office
7. **Any other information** _____

DECLARATION

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.

Date: _____(DD/MM/YYYY)

Signature of the Applicant

FOR OFFICE USE ONLY

- ☐ (Originals verified) True copies of documents received (Self-
☐ Attested) Self Certified Document copies received

Seal / Stamp of the intermediary should contain:

- Staff name
- Designation
- Name of the organization
- Signature
- Date

TRADING ACCOUNT RELATED DETAILS

A. Gross Annual Income Details as on date _____ (DD/MM/YYYY):

Income Range per annum (Kindly specify)

() Below Rs 1 Lac () 1-5 Lac () 5-10 Lac () 10-25 Lac () > 25 Lac or

Net-worth as on (date)..... (DD/MM/YYYY): _____ (Net worth should not be older than 1 year)

B. Occupation (please tick any one and give brief details): ☐ Private Sector ☐ Public Sector

☐ Government Service ☐ Business ☐ Professional ☐ Retired ☐ Housewife

☐ Student ☐ Agriculturist Others ☐

C. Please tick, if applicable: () **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	DP ID	Beneficiary ID (BO ID)

F. I / We further submit that the above Email id belongs to: (Tick One)

☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

I / We further submit that the above Mobile Number belongs to: (Tick One)

☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

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

G. **TRADING PREFERENCES**

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

Trading Preference	
CASH/Mutual Fund (NSE, BSE)	F&O (NSE, BSE)
(Signature)	(Signature)

If you do not wish to trade in any of segments / Mutual Fund, please mention here

RISK DISCLOSURES ON DERIVATIVES

- 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses.
- On an average, loss makers registered net trading loss close to ₹ 50,000.
- Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs.
- Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

Source:

SEBI study dated January 25, 2023 on “Analysis of Profit and Loss of Individual Traders dealing in equity Futures and Options (F&O) Segment”, wherein Aggregate Level findings are based on annual Profit/Loss incurred by individual traders in equity F&O during FY 2021-22.

K. INTRODUCER DETAILS (OPTIONAL)

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:

L. NOMINATION DETAILS (FOR INDIVIDUALS ONLY)

Please tick in the appropriate box below.

☐ I wish to nominate

☐ I 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) Name ---

Name -----

Signature -----

Signature -----

Address -----

Address -----

M. 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, 'Most important Terms and Conditions', 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.
4. In case of any change in my U.S. Person status on a future date, I undertake to inform I-Sec the same within 30 days. I agree that if I am a U.S. Person or tax resident of a reportable foreign jurisdiction (other than U.S.) requiring reporting under FATCA/CRS or any other laws, my account details, as required under Inter Governmental Agreement (IGA)/ Multilateral Competent Authority Agreement (MCAA) signed by Indian Government, would be reported by I-Sec to the relevant tax authority.
5. **Following clause applicable only if any of the indicia parameters is outside India and TIN/ FE is not available since not resident for tax purpose outside India OR Country of Birth is US and US person is mentioned as "No".**

I hereby confirm that I am not a US Person or a resident for tax purpose in any country other than India, though my Country of Birth suggests my relation with US or one or more parameters suggest my relation with the country outside India. I am providing / already provided copy of my PAN card to I-Sec and now providing a certificate of relinquishment of US citizenship (loss of nationality) OR reasons for not having such a certificate despite relinquishing US citizenship OR for not obtaining US citizenship at birth (only if born in US)

Please specify reason

I hereby confirm that details as provided by me above can be shared by I-Sec with the concerned Asset Management Companies (AMCs) or such other product providers, to whom FATCA/CRS norms are applicable, in whose schemes / products I may invest/transact in future through I-Sec.

I hereby consent to receive information from Central KYC Registry through SMS/Email on the registered number/email address as mentioned in KYC form. I hereby confirm that details as provided by me above can be shared by I-Sec with the concerned Asset Management Companies (AMCs), Insurers or such other product providers, to whom CKYCR norms are applicable, in whose schemes/ products I may invest/transact in future through I-Sec or as required by any regulator or under any law.

Place & Date _____

Signature of Applicant

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, Guidance Note and Most important Terms and conditions. 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, Most important terms and conditions 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, RDD and Most important terms and conditions would be made available on my/our website, if any, for the information of the clients.

Date

Seal/Stamp of ICICI Securities Limited