To,
Shriram Insight Share Brokers Ltd,
CK-5 & 6, Sector-II,
Salt Lake City,
Kolkata-700091

Sub: Request Letter for activation of Internet Trading.

Dear Sir/ Madam,

I/We____am/are registered as your Client with UCC ______________ for the purpose of trading in the following segment/s and Exchange/s.

***Please tick in the appropriate Box*:**

NSE: CASH	☐	**F&O**	☐	**CURRENCY DERIVATIVE**	☐
BSE: CASH	☐				

I/We am/are interested in availing the internet trading facility through your company. You are requested to activate the same.

In this regard I/we do hereby declare state and affirm as under:

1. That I/We have read/been explained and understood the contents as prescribed in the Document stating the Rights & Obligations of stock broker, sub-broker and client for trading on exchanges which includes additional rights & obligations in case of internet / wireless technology based trading in Annexure–4 of the SEBI Circular CIR/MIRSD/16/2011 dated August 22, 2011.

2. That any voluntary clause / documents not in conflict with the rules/regulations/notices/circulars of Exchanges/SEBI, if added by the Stock broker from time to time shall also form part of the non mandatory documents, which I shall also abide.

3. That If the rights and obligations or any other clauses of the mandatory documents are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges, such changes shall be deemed to have been incorporated in modification of the rights and obligations of the parties and I/we shall automatically be guided by the same.

I/We do hereby accept that, all other terms and conditions as applicable and agreed upon by me/us previously shall remain unchanged.

The above declaration has been made out of my free will and consent.

Thanking you,
Yours Faithfully
Name:

Client Code:

…………………………...
Signature of the Applicant

PAN No.:
Date:
Place:

“Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back. If printed separately then both pages should be attached and signed by the applicant”

I Know Your Client (KYC) Application Form (For Individuals Only)

CVL

Application No. :

SHRIRAM Insight

Please fill in ENGLISH and in BLOCK LETTERS with black ink

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

2. Gender ☐ Male ☐ Female **B. Marital status** ☐ Single ☐ Married **C. Date of Birth** DD/MM/YYYY

3. Nationality ☐ Indian ☐ Other____________________

4. Status Please tick (✓) ☐ Residential Individual ☐ Non Resident ☐ Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN Please enclose a duly attested copy of your PAN Card

Unique Identification Number (UID)/Aadhaar, if any :____________________

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

☐ UID (Aadhaar) ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others __________ (Please see guideline 'D' overleaf)

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

1__________

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City/Town/Village | Pin Code

State | Country

2. Contact Details

Tel. (Off.) (ISD) (STD) | Tel. (Res.) (ISD) (STD)

Mobile (ISD) (STD) | Fax (ISD) (STD)

E-mail Id.

3. **Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**
☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c. Statement/Passbook ☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others __________
*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** DD/MM/YYYY

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory for Non-Resident Applicant

City/Town/Village | Pin Code

State | Country

5. **Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**
☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c. Statement/Passbook ☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others __________
*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** DD/MM/YYYY

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we may be held liable for it.

Place : __________ Date : __________

SIGNATURE OF APPLICANT

2__________

FOR OFFICE USE ONLY

IPV Done ☐ **on** DD/MM/YYYY

Shriram Insight Share Brokers Ltd.
Code : 1100038400

☐ (Originals verified) Self Certified Document copies received

☐ (Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

Seal/Stamp of the intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals,(allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in 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.

B. Proof of Identity(POI): List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinationa Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc.,to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN
(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

VOLUNTARY DOCUMENT

To
Shriram Insight Share Brokers Ltd.
CK-5 & 6, Sector-II,
Salt Lake City
Kolkata-700091

Sub : Consent Letter for Digital Communication through email

Sir/Madam,

I/We am/are agreeable to receive digitally signed Contract note, bills, and financial and stock ledger and transaction statements for both Trading & Demat Account. In this regard I/We give the following details and accept the revised provisions relating to issue of digitally signed contract notes as may be issued by SEBI or the concerned exchange from time to time and pursuant to the amendments in Clause 3 of the agreement (Annexure C to the Bye Laws of CDSL.)

Client Name	
PAN	
E-mail id	
Alternative email id	
Own email id ☐ **Y** ☐ **N**	**If No, Please specify relation with email id holder**________________________

I/we further confirm and agree that:

1. Shriram Insight Share Brokers Ltd.(SISBL) will provide contract note, financial & stock ledger and transaction statements, bills or other Statement(s), related notices, circulars, amendments and such other correspondence, documents and records which may be sent from time to time electronically in lieu of the physical mode for my convenience and on my request only.
2. Though the Member is required to deliver physical contract note, financial & stock ledger and transaction statements, bills or other Statement(s), I find that it is inconvenient for me to preserve the same in physical mode. Therefore, I am voluntarily requesting for delivery of contract note, financial & stock ledger and transaction statements, bills or other Statement(s) electronically pertaining to all the transactions carried out / ordered by me.
3. I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
4. I /We hereby confirm that email Id mentioned above has been opened by me personally without any assistance from any employee, representative or any person connected with SISBL in any manner.
5. Password or my email id has been kept confidential and has not been shared with any one intentionally or unintentionally. I understand that sharing of password will result in compromising security of my trading account details with SISBL.
6. We shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of the above mentioned e-mail account within me. SISBL shall not be liable to or responsible for any breach of secrecy. I/We will be solely responsible for the security of the information provided on my/ our aforesaid e-mail id.
7. E-mails sent to the above mentioned e-mail account, shall be deemed to be duly delivered to me/us.
8. In the event any e-mail sent by SISBL is undelivered due to insufficient space in my/our inbox of email or in the event any network problem occurs, SISBL shall in no way be responsible for the same.
9. SISBL shall not take cognizance of out-of -office/ out of station auto replies and I/We shall be deemed to have received such electronic mails as the email can be accessed from anywhere.
10. Such Statements/ information shall be deemed to have been delivered on the day when the e-mail is sent by SISBL.
11. SISBL shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof. I will inform / check with SISBL about the verification of such fraud mail immediately on receipt of such mail.
12. SISBL shall not be liable for any problem, which arises because of my/our computer in receiving any Statement.
13. I/We undertake to check the Statement and bring the discrepancies to your notice within the time period as specified by the SISBL. My/Our non-verification or not accessing the Statement on regular basis shall not be a reason for disputing the same at any time.
14. I hereby declare and confirm that any change in the email id shall be communicated by me through a physical letter to SISBL.

[The above declaration has been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same]
(The above lines must be reproduced in own handwriting of the client in the box given below before putting his Signature.)

____

____

Yours Sincerely,

✍A____________________ ✍B__________________________ ✍C________________________

Signature of client | Joint Holder Signature (if applicable) | Joint Holder Signature (if applicable)

Date :

Place:

(Signature by the person authorized to take documents or any Power of Attorney holder is not valid.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO 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 data card, 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 Web Site 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 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 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 Stock broker 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 non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

✍ ______________________________

(Client Signature)