

CLIENT REGISTRATION FORM

FILE / FORM NO.

BRANCH NAME

CLIENT NAME

TRADING CODE

CLIENT ID

CDSL/NSDL





MINDEX CAPITAL MARKET PVT LTD

Member : •NSE •BSE •MCX •DP-CDSL & NSDL

www.mindexcapital.com

INSTRUCTIONS FOR FILLING UP THE ACCOUNT OPENING FORMS

1. Please provide all the information asked for in the form and attach self-attested copies of the documents required along with the form.
2. Please provide clear, legible copies of the documents.
3. Please bring original documents for verification at the time of KYC Form submission to member.
4. Please note that any proof other than mentioned herein would not be accepted.
5. All proofs, photographs and signatures on the form should be clearly visible and legible.
6. All documentary proofs should be verified with originals and signed and stamped with "Verified with original" rubber stamp.
7. The account opening form, should be filled properly and completely and signed on all pages wherever required/ instructed.
8. If the client's occupation is 'student', then please provide an attested copy of 'Photo Identity Card' issued by college/ educational Institution.
9. You are advised to read and understand each and every document before signing it. It is compulsory to sign the applicable mandatory document. For the voluntary documents, please sign all and / or the relevant document in accordance with the services required by you from the Member.
10. Please note that Pin code, Telephone/ Mobile No., Email Address must be provided in the address details by you.
11. Please ensure that your name and signature, among other information, are the same at all places as appearing on your PAN Card and address proof, and in case of any difference of name appearing on PAN Card, then Additional ID Proof with same name shall be provided.
12. Permanent & Correspondence address given in the form should be same as it appears on the address proof. In case permanent and correspondence addresses are different, make sure to provide address proof for both of them.
13. Witness name, address must be provided wherever required.
14. All fields are to be filled / answered. Not applicable (N.A.) to be mentioned in the columns not applicable to the clients. Wherever applicable, relevant columns should be tick marked and strike off the portion of KYC forms which is not applicable.
15. Please avoid overwriting, corrections, if any, in the documents should be countersigned with full signature. Note White (correction) ink is not allowed either on the form or on the agreement or on Contract.
16. In case the investor is a spouse where proof of address is in the name of spouse then the documents such as ration card, school certificate etc., evidencing their relationship should be submitted or as advised by the Member.
17. The information given here would be kept confidential. However if the information is required by SEBI, by any stock exchange or by any government agency it may be given to them.
18. Sign on all places marked as  & 

Exclusive E-mail Id for Redressal of Investor grievance: complaint@mindexcapital.com



INSTRUCTIONS / CHECK FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self-attested copy of PAN card is mandatory for all clients, including Promoters / Partners / Karta / Trustees and whole time directions and persons authorised to deal in securities on behalf of company / firm / others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification, then the copies should be properly attested by entities authorised 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 / PIO Card / OCI Card 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. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / driving license.
2. PAN card with photograph.
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 (PQA):- List of documents admissible as Proof of Address; (*Document having an expiry date should be valid on the date of submission.)

1. Unique Identification Number (UID) (Aadhaar) / 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 2 months old.

3. Bank Account Statement / Passbook - Not more than 2 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 / Multinational 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 apostilled 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, FVCI's, 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 authorised 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, authorised 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.

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary / Whole time director / MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors / two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership Firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). • Copy of Trust deed. • List of trustees certified by managing trustees / CA. • Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF / List of coparceners. • Bank pass-book / bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence / Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorised signatories list with specimen signatures.
Banks/ Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution / registration or annual report / balance sheet for the last 2 financial years. • Authorised signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorised signatories list with specimen signatures.
Army/Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorised signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

INSTRUCTIONS/ CHECK LIST (for filling additional information related to trading account)

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self-declaration with relevant supporting documents.

*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

- Copy of cancelled cheque leaf / pass book / bank statement specifying name of the constituent, MICR Code or / and IFSC Code of the bank should be submitted.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For Individuals:
 - Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker / Authorised Person's office.
 - In case of non-resident clients, employees at the stock broker's local office, overseas can do 'in-person' verification. Further, considering the infeasibility of carrying out 'in-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
- For non-individuals:
 - Form need to be initialized by all the authorised signatories. b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorised to deal in securities on behalf of company / firm / others and their specimen signatures.

ACKNOWLEDGEMENT TO MINDEX FROM CLIENT

(DP, Equity, Currency & Commodity)

To,

Mindex Capital Market Pvt. Ltd.

1306, Padma Tower-1, Rajendra Place, New Delhi - 110008

I hereby opt to receive the documents listed below in-

Electronic Form **Physical Form**

1. Rights and Obligations of Stock Brokers/Trading Member, Commodity Broker, Authorized Person, & Clients for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading).
2. Risk Disclosure Document for dealing in securities market & commodities market.
3. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors.
4. Policies and Procedures of Stock Broker & Commodity Broker.
5. Rights and Obligations of Beneficial Owner and Depository Participant.
6. Guidance Note-Do's and Don'ts for Demat Account.
7. Executed copy of Account Opening Form.
8. Facility of Online access of Voluntary Freezing/Blocking of Trading Account by Client.
9. Investor Charter.

I/We hereby acknowledge the receipt of all documents as mentioned above. Further I confirmed that the documents for KYC submitted by me are true and correct.

Name: _____ Signature: _____

UCC: _____ Client ID: _____

❖ Disclosure Information – For Proprietary Trading/Business (Pro-Trading)

This is to inform that we do client based trading and Proprietary Trading.

Annexure – 1

ACCOUNT OPENING KIT

INDEX OF DOCUMENTS

S.NO.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, EXCHANGES & DEPOSITORIES			
1.	Account Opening Form	A. KYC Form & FATCA – Documents captures the basic information about the constituent and an instruction/check list.	1 - 7
		B. Document captures the additional information about the constituent relevant to trading & Demat account and an instruction /check list.	8 - 26
2.	Rights and Obligations	Document stating the Rights & Obligations of Commodity/stock-broker/trading member, Authorised person and Depository participant, and client for Trading & Demat Services on exchanges (including additional right & obligations in case of internet/wireless technology based trading).	Client Copy
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities and commodity market.	Client Copy
4.	Guidance note	Document detailing do's and don'ts for trading on exchange and Operating the demat account for the education of the investors.	Client Copy
5.	Policies and Procedures	Document describing significant policies and procedures of the Stockbroker and commodity.	Client Copy
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the commodity exchange and stock exchange(s)	27
7.	DP Charges – Account Maintenance Scheme	Depository charge structure: Scheme A/B/C/D; demat, remat & transaction charges	28
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER & DEPOSITORY PARTICIPANT			
8.	Demat Debit and Pledge Instruction (DDPI)	Document seeking authorization by client to the stock broker, to Access the demat account of the client for specified purpose only	Additional
9.	BSDA Declaration	Basic Services Demat Account declaration & eligibility conditions.	29
10.	General Authority	Client authorization for fund retention, margin use, telephonic Instructions & e-mail delivery.	30
11.	Fit & Proper Person Declaration	SEBI SECC Regulations declaration of fitness & propriety to hold exchange shares.	31
12.	Letter of Authorisation – Pledge of Securities	Authorization to pledge securities with clearing Member/corporation as margin.	32
13.	Internet & Wireless Trading Facility	Terms for IBT/wireless trading; client responsibilities for login & System risks.	32 - 33
14.	Most Important Terms & Condition (MITC)	Terms for IBT/wireless trading; client responsibilities for login & system risks	34
15.	Letter of Authority to Trade	Authorization for a third party to trade on client's behalf	35
16.	Running Account Authorisation	Authorization to maintain running fund balance; quarterly/monthly settlement option	36
17.	Consent – Aadhaar Details Sharing	Consent for sharing masked Aadhaar with SEBI/KRA agencies for KYC	37
18.	Currency Derivatives – Underlying Exposure Declaration	RBI-compliance declaration for currency derivative positions & underlying exposure	37
19.	Declaration by Karta & Co-Parceners (HUF)	HUF-specific declaration by Karta and all coparceners authorizing account operations	38
20.	Statement of Account – Electronic Mode & ECN	Consent to receive DP statement & contract notes electronically via e-mail	39
21.	Commodity Open Interest & PCD Declaration	Undertaking to comply with net open position limits; participant category disclosure	40
22.	Declaration of Mobile Number / Email ID	Declaration linking mobile/email to account holder for communication	41
23.	DIS Booklet Issuance Option	Option to issue or waive Delivery Instruction Slip (DIS) booklet at account opening	42
24.	GTD/GTC Order Policy	Good Till Date/Cancel order facility features, FAQ & corporate action handling guidelines	43
25.	Request for Trade Alerts (SMS/E-Mail)	Client request to receive NSE/BSE trade alerts via SMS and/or e-mail; mobile & email update option.	44
26.	Terms & Conditions – SMS Alerts from CDSL	Terms for receiving SMS alerts on registered mobile number via CDSL; covers definitions, service availability, alert delivery conditions, BO responsibilities and depository's liability limitations; All three holders to sign.	45 - 46



Mindex Capital Market Pvt. Ltd.

CIN NO.:U74899DL1995PTC066020

Name of Stock Exchange	SEBI Registration & Date	Member Code
National Stock Exchange of India Limited	INZ000181235 (07/10/2010)	90027
Bombay Stock Exchange of India Limited		6301
Multi Commodity Exchange of India Limited		40785
Name of Depository	SEBI Registration & Date	DP ID
Central Depository Services (India) Limited	IN-DP-835-2026 (10/02/2026)	12078700
National Securities Depository (India) Limited		IN305031

Registered & Correspondence Office Address

1306, Padma Tower-1, Rajendra Place, New Delhi-110008

Ph.: 011-40904000 | www.mindexcapital.com

Email- ask@mindexcapital.com

Compliance Officer Details	CEO Details
Name : Nitin Aggarwal	Name : Krishan Kumar Aggarwal
Phone No : 011-40904099	Phone No : 011-40904002
Email Id : nitin@mindexcapital.com	Email Id : krishan@mindexcapital.com

Clearing Member Details for Cash, Currency, Commodity and F&O Segment

Name : Globe Capital Market Ltd.
SEBI Regn. No. : INZ000177137
Regd. Office : 609, 6th Floor, Ansal Bhawan, 16, K.G. Marg, New Delhi-110001
Phone No. : 011-30412345
Fax : 011-23720883
E-mail Id : mail@globecapital.com

For any grievance/dispute please contact Mindex Capital Market Private Limited at the above address or Email ID: complaint@mindexcapital.com and Phone No. 011-40904001

In case not satisfied with the response, please contact the concerned Exchange(s) at

Exchange / SEBI	Email ID	Phone No.
Securities & Exchange Board of India	sebi@sebi.gov.in	022-264499500/40459950
National Stock Exchange	ignse@nse.co.in	022-26598190
Bombay Stock Exchange	iscdelhi@bseindia.com	022-22728097
Multi Commodity Exchange	grievance@mcxindia.com	022-66406789

Depository	Email ID	Phone No.
CDSL	complaints@cdslindia.com	022-22723333
NSDL	relations@nsdl.co.in	022-24994200

Investors may lodge their complaints by sending an email to us or by sending an email at the nearest Investor Service Centre of stock exchange or by sending physical complaint to the nearest investor service centre of stock exchange or through SEBI SCORES 2.0 (Home - scores.sebi.gov.in) or through SMART ODR Portal (<https://smartodr.in/>)."

Know Your Client (KYC)

Application Form (For Individuals Only)



CDSL VENTURES LIMITED

...Exploring New Horizons



Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked † are pertaining to CKYC and mandatory only if processing CKYC also

Application Number: _____

Application Type*: New KYC Modification KYC

KYC Mode*: Please Tick (✓)

- Normal
- EKYC OTP
- EKYC Biometric
- Online KYC
- Offline EKYC
- Digilocker

1. Identity Details (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Maiden Name* (if any) _____

Fathers/Spouse's Name* _____

Date of Birth* _____

Gender* Male Female Transgender

Marital Status* Single Married

Nationality* Indian Other _____

Residential Status* Resident Individual Non Resident Indian

Please Tick (✓) Foreign National Person of Indian Origin

(Passport mandatory for NRIs, PIOs and Foreign Nationals)



Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

- A — Aadhaar Card XXXX XXXX _____
 - B — Passport Number _____ (Expiry Date) _____
 - C — Voter ID Card _____
 - D — Driving License _____ (Expiry Date) _____
 - E — NREGA Job Card _____
 - F — NPR _____
 - Z — Others _____ (any document notified by Central Government)
- Identification Number _____

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* Residential/Business Residential Business Registered Office Unspecified

Applicant e-SIGN

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____
 Line 2 _____
 Line3 _____
 City/
 Town/Village* _____ District* _____ Pin Code* _____
 State* _____ Country* _____
 Address Type* Residential/Business Residential Business Registered Office Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

A — Aadhaar Card XXXX XXXX _____
 B — Passport Number _____ (Expiry Date) _____
 C — Voter ID Card _____
 D —Driving License _____ (Expiry Date) _____
 E —NREGA Job Card _____
 F — NPR Letter _____
 Z—Others _____ (any document notified by Central Government)
 Identification Number _____

3. Contact Details

Email ID _____
 Mobile No. _____
 Tel (Off) _____ Tel (Res) _____

4. Applicant Declaration

I hereby declare that the details furnished above are true and correct in relation of my/our knowledge and belief and I under take to inform you of the contents of this document. I hereby confirm that any of the above information is found to be false or untrue or misleading and representing. I am/We are aware that I/We may be held liable for it.

I/We hereby consent to receiving information from CVL KRA & CKYC through SMS/Email on the above registered number/Email address.

DATE: _____ (DD-MM-YYYY)
 PLACE: _____

	Applicant e-SIGN	Applicant Wet Signature

5. For Office Use Only

In-Person Verification (IPV) carried out by*	Intermediary Details*
IPV Date _____	<input type="checkbox"/> Self certified document copies received (OVD)
Emp. Name _____	<input type="checkbox"/> True Copies of documents received (Attested)
Emp. Code _____	AMC / Intermediary Name : _____
Emp. Designation _____	_____
Organization _____	_____
Employee Signature and Stamp	Institution Name and Stamp

**DETAILS OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLE TIME DIRECTORS FORMING
A PART OF KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON-INDIVIDUALS**

1.	Name																										PHOTOGRAPH Please affix your recent passport size photograph and sign across it
	PAN																										
	DIN (For Directors) / DPIN (For Partners) / Aadhaar Number (For others)																										
	Residential/Registered Address:																										
Relationship with Applicant (i.e. promoters, whole time directors etc.)																										SIGNATURE	
PEP <input type="checkbox"/> RPEP <input type="checkbox"/> Not PEP <input type="checkbox"/> Not RPEP <input type="checkbox"/>																											

2.	Name																										PHOTOGRAPH Please affix your recent passport size photograph and sign across it
	PAN																										
	DIN (For Directors) / DPIN (For Partners) / Aadhaar Number (For others)																										
	Residential/Registered Address:																										
Relationship with Applicant (i.e. promoters, whole time directors etc.)																										SIGNATURE	
PEP <input type="checkbox"/> RPEP <input type="checkbox"/> Not PEP <input type="checkbox"/> Not RPEP <input type="checkbox"/>																											

3.	Name																										PHOTOGRAPH Please affix your recent passport size photograph and sign across it
	PAN																										
	DIN (For Directors) / DPIN (For Partners) / Aadhaar Number (For others)																										
	Residential/Registered Address:																										
Relationship with Applicant (i.e. promoters, whole time directors etc.)																										SIGNATURE	
PEP <input type="checkbox"/> RPEP <input type="checkbox"/> Not PEP <input type="checkbox"/> Not RPEP <input type="checkbox"/>																											

4.	Name																										PHOTOGRAPH Please affix your recent passport size photograph and sign across it
	PAN																										
	DIN (For Directors) / DPIN (For Partners) / Aadhaar Number (For others)																										
	Residential/Registered Address:																										
Relationship with Applicant (i.e. promoters, whole time directors etc.)																										SIGNATURE	
PEP <input type="checkbox"/> RPEP <input type="checkbox"/> Not PEP <input type="checkbox"/> Not RPEP <input type="checkbox"/>																											

Name & Signature of the Authorised Signatory(ies)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN [#]			
Address	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office
Tax ID [%]			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	<input type="text" value="DDMMYYYY"/>	<input type="text" value="DDMMYYYY"/>	<input type="text" value="DDMMYYYY"/>
Percentage of Holding([%]) [§]			

* To include US, where controlling person is a US citizen or green card holder

[#] If UBO is KYC compliant, KYC proof to be enclosed, Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

[%] In case Tax Identification Number is not available, kindly provide functional equivalent

[§] Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Mindex Capital Market Private Limited any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI)

Name

Designation



Signature of the Client :

Date:

Place:

For Investor convenience, Mindex Capital Market Private Limited (MCMPL) collecting this mandatory information for updating across all Group Companies of MCMPL whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest MCMPL branch or you can dispatch the hard copy to-

Mindex Capital Market Pvt. Ltd.

1306, Padma Tower-1, Rajendra Place, New Delhi-110008

• For Detail Terms & Conditions please visit: www.mindexcapital.com

Trading Preferences

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE & BSE			MCX
All segments	Cash/Mutual Fund	F&O	Currency Derivatives & Interest Rate Futures	Commodity Derivatives
If you do not wish to trade in any of segments / Mutual Fund, please mention here. _____				

Number of years of Investment/Trading Experience

No Prior Experience

Years in Equities	Years in Derivatives			Years in other Investment Related Field	
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Date of Consent for Trading on Concerned Exchange (for Commodity)

Important Risk Disclosures from SEBI

Please read the following pointers before participating in the derivative segments of the markets 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.
1. I/We are interested to trade into commodity options and hereby accord my /our consent to trading in commodity options.
 2. I/We have gone through the additional risk disclosure document and have appraised myself/ourselves with the risk of trading in commodity options.
 3. This consent is valid till I/we revoke the same. I/We understand that I/we have right to withdraw the same at any point of time.

DEALINGS THROUGH Authorised PersonS AND OTHER STOCK BROKERS

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

Sub-broker's Name																
SEBI Registration Number																
Registered Office																
Address																
City / Town / Village											PIN Code					
State						Country										
Phone						Fax										
Website																
Whether dealing with any other stock broker / Authorised Person <small>(if case dealing with multiple stock brokers / Authorised Persons, provide details of all)</small>																
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:																

ADDITIONAL DETAILS

I/We hereby request you to provide the Contract Notes, Daily Margin Statements, Monthly/Weekly Statements, Settlement Extracts, AGTS, etc. at my/our registered email id. My/our Email Id has been created by me/us and not by someone else. I/We am/are aware that non-receipt of bounced mail notification by the Member shall amount to delivery of the aforesaid documents at my/our e-mail ID.

Yes No

■ Whether you wish to receive your executed KYC Electronically Physically

■ Whether you wish to avail of the facility of internet trading/ wireless technology: Yes No (if yes, then please specify) Browser Based EXE Based Trading Wireless Trading

■ Any other information: _____

INTRODUCER DETAILS (Optional)	
Name of the Introducer	
Status of the Introducer	<input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others (please specify)
Address of the Introducer	
City / Town / Village	PIN Code
State	Country
Phone No. of Introducer	Signature of the Introducer

NETWORTH, GST, PEP & OTHER DETAILS

▪ **Net Worth** (Net worth should not be older than 1 year) **Amount Rs.....**

As on (date)

▪ **Is the entity involved/providing any of the following services** Yes No

- For Foreign Exchange/Money Changer Services Yes No - Gaming/Gambling/Lottery Services (e.g. casinos, betting syndicates)

- Money Lending / Pawning Yes No

▪ **GST Registration Details**

S. No.	State	State Code	GST Registration No.	Validity Date
1				

▪ **Political Exposed Person (PEP) Please tick, if applicable** (Note: In case of Non-individuals please tick, if applicable for any of your authorised signatories/Promoters/Partners/Karta/Trustees/whole time directors):

▪ **Any other information:**

Not a Politically Exposed Not Related to a Politically Exposed Person Politically Exposed Person Related to a Politically Exposed Person

PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its authorized persons in charge of dealing in securities & commodities during the last 3 years.

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 and all voluntary/ non-voluntary documents.
3. I / We further confirm having read and understood the contents of the 'Right 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: www.mindexcapital.com.

Date

Place :



Signature of Client(all) Authorised Signatory(ies)

Mindex Capital Market Pvt Ltd

CIN: U74899DL1995PTC066020

Regd. Office: 1306, Padma Tower-1, Rajendra Place, Delhi-110008

Telephone: +91-011-40904000, 93110-93150

Email: ask@mindexcapital.com Website: www.mindexcapital.com

Nomination form**Nomination Registration No:****Date :**/...../.....

I/we wish to make a nomination. (As per details given below)

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.

Nomination Details

	Mandatory Details*						Additional Details	
	Name of nominee	Share of nominee	Relationship	Postal Address	Mobile No. & E-mail	Identity Number **	DOB of nominee	Guardian
Nominee 1								
Nominee 2								
Nominee 3								
Nominee 4								
Nominee 5								
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

***Joint Accounts:**

Event	Transmission of Account / Folio to
Demise of one or more joint holder(s)	Surviving folder(s) through name deletion The surviving holder(s) shall inherit the assets as owners

Demise of all joint holders simultaneously — having nominee	Nominee
Demise of all joint holders simultaneously — not having nominee	Legal heir(s) of the youngest folder

**if % is not specified, then the assets shall be distributed equally amongst all the nominees (see table in 'Transmission aspects').

**Provide only number: PAN or Driving License or Aadhaar (last 4). Copy of the document is not required.

**to be furnished only in following conditions / circumstances:

- Date of Birth (DOB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

I / We want the details of my / our nominee to be printed in the statement of holding, provided to me / us by the AMC / DP as follows; (please tick, as appropriate)

Name of nominee(s) Nomination: Yes / No

- 1) I hereby authorize _____(nominee number _) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encase my assets up to ___% of assets in the account / folio or Rs. _____
(strike off portions that are not relevant)
- 2) This nomination shall supersede any prior nomination made by me / us, if any.

Name(s) of holder(s)	Signature(s) of holder	Witness Signature"
Sole / First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

" Signature of two witness (es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature

This nomination shall supersede any prior nomination made by me / us, if any.

Name(s) of holder(s)	Signature(s) of holder	Witness Signature"
Sole / First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

" Signature of two witness (es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Declaration Form for opting out of nomination

To	Date	D	D	M	M	Y	Y	Y	Y
Mindex Capital Market Pvt. Ltd. CIN No. U74899DL1995PTC066020 Regd. Off. : 1306, Padma Tower-1, Rajendra Place, New Delhi-110008 Tel. : +91 011-40904000 , 93110-93150 E-mail : ask@mindexcapital.com • Website : www.mindexcapital.com									
DP ID									
BO ID (only for Demat account)									
UCC									
Sole/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.									
Name and Signature of Holder(s)*									
1. _____	2. _____	3. _____							

*Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of Signature

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT (FOR INDIVIDUAL)**Mindex Capital Market Pvt. Ltd.** CIN: U74899DL1995PTC066020

Member : NSE, BSE & MCX (DP-CDSL & NSDL) | SEBI REGN. NO.: INZ000181235.

DP Regd No: IN-DP-835-286 Regd. Office: 1306, Padma Tower-1, Rajendra Place, New Delhi-110008 | Ph.: 011-40904000

Receipt No.	
Cash/Cheque No.	
Amount (Rs.)	
Branch	

(To be filled by the Depository Participant)

Application No.		Date	D	D	M	M	Y	Y	Y	Y					
DP Internal Reference No.															
DP ID	1	2	0	7	8	7	0	0	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 the following details

Holders Details

Sole/First Holder Name		PAN								
		UID								
Second Holder Name		PAN								
		UID								
Third Holder Name		PAN								
		UID								

Name *

* 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	<input type="checkbox"/> Individual Director's Relative
	<input type="checkbox"/> Individual HUF / AOP	<input type="checkbox"/> Individual Promoters	<input type="checkbox"/> Minor
	<input type="checkbox"/> Individual Margin Trading A/c (MANTRA)	<input type="checkbox"/> Others (specify)	
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI Non-Repatriable	<input type="checkbox"/> NRI Repatriable Promoter
	<input type="checkbox"/> NRI Non-Repatriable Promoter	<input type="checkbox"/> NRI-Depository Receipts	<input type="checkbox"/> Others (specify)
<input type="checkbox"/> Foreign National	<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 (If not marked, the default option would be 'Yes')	[Automatic Credit]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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')		<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation	<input type="checkbox"/> Daily	<input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____		<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We would like to share the email ID with the RTA		<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)	<input type="checkbox"/> Physical /	<input type="checkbox"/> Electronic /	
	<input type="checkbox"/> Both Physical and Electronic		
I/We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]		<input type="checkbox"/> Yes	<input type="checkbox"/> No

Bank Details [Dividend Bank Details]										(* 9 digit MICR Code)					(* 11 Character)					
MICR Code*										IFSC Code*										
Bank A/c No.										Bank A/c Type	<input type="checkbox"/> Saving	<input type="checkbox"/> Current	<input type="checkbox"/> Others	Pl. Specify						
Bank Name										Branch Name										
Bank Branch Address	City/town/village										PIN Code									
	State										Country									

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
 - (ii) Photocopy of the Bank Statement having name and address of the BO
 - (iii) Photocopy of the Passbook having name and address of the BO, (or)
 - (iv) Letter from the Bank.
- In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

Other Details	
Gross Annual Income Details	Income Range per annum <input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,001 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,001 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,001 to Rs. 25,00,000 <input type="checkbox"/> More than Rs. 25,00,001
	Net worth as on (Date) ____/____/20__ Rs. _____ [Net worth should not be older than 1 year]
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____
Please tick, if Applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)
Any other information	
SMS Alerts Facility	Mobile No. + 9 1 _____
Refer to Terms & Conditions given as Annexure 2.4	[(Mandatory, if you are giving POA / (DDPI)] (If POA/DDPI is not granted & you do not wish to avail of this facility, cancel this option).

Mode of Operation of joint accounts		
Jointly <input type="checkbox"/>	Anyone of the holder or survivor(s) <input type="checkbox"/>	First Holder <input type="checkbox"/>
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.		

For Joint accounts, communication to be sent to First Holder All Joint account Holders

**ACCOUNT OPENING FORM (NSDL)
(FOR INDIVIDUALS)**

Mindex Capital Market Pvt Ltd 1306, Padma Tower-1, Rajendra Place, New Delhi - 110008 DP ID :-IN305031	Client -ID (To be filled by Participant)
---	--

I/We request you to open a depository account in my/our name as per the following details: *(Please fill all the details in CAPITAL LETTERS only)*

Date	D	D	M	M	Y	Y	Y	Y
-------------	---	---	---	---	---	---	---	---

A Details of Account holder(s):

Account holder(s)	Sole/ First Holder	Second Holder	Third Holder			
Name						
PAN						
<i>Occupation (please tick any one and give brief details)</i>	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist
	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired
	<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife	<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife	<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife
	<input type="checkbox"/> Business	<input type="checkbox"/> Student	<input type="checkbox"/> Business	<input type="checkbox"/> Student	<input type="checkbox"/> Business	<input type="checkbox"/> Student
	<input type="checkbox"/> Professional	<input type="checkbox"/> Others (Please specify; _____)	<input type="checkbox"/> Professional	<input type="checkbox"/> Others (Please specify; _____)	<input type="checkbox"/> Professional	<input type="checkbox"/> Others (Please specify; _____)
Brief details:						

B For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:

a) Name	b) PAN
---------	--------

C Type of account

<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> NRI-Non Repatriable
<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Promoter
<input type="checkbox"/> Margin	<input type="checkbox"/> Others (Please specify) _____	

D Gross Annual Income Details

Income Range per annum (please tick any one)

<input type="checkbox"/> Below ₹ 1 lac	<input type="checkbox"/> ₹ 1- 5 lac	<input type="checkbox"/> ₹ 5- 10 lac
<input type="checkbox"/> ₹ 10- 25 lac	<input type="checkbox"/> More than ₹ 25 lac	

E In case of NRIs/ Foreign Nationals

RBI Approval Reference Number

RBI Approval date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

F Bank details

1	Bank account type	<input type="checkbox"/> Savings Account	<input type="checkbox"/> Current Account	<input type="checkbox"/> Others (Please specify) _____
2	Bank Account Number			
3	Bank Name			

4	Branch Address										
		City/town/village				PIN Code					
		State				Country					
5	MICR Code										
6	IFSC										

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

H Standing Instructions

1	I/We authorise you to receive credits automatically into my/our account.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2	Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3	Auto Pledge Flag (If not marked, the default option would be No)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4	<u>Account to be operated through Demat Debit and Pledge Instruction (DDPI)</u>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5	SMS Alert facility: [Mandatory if you are giving Power of Attorney (PoA/DDPI). Ensure that the mobile number is provided in the KYC Application Form]		
	Sr. No.	Holder	Yes No
	1	Sole/First Holder	<input type="checkbox"/> <input type="checkbox"/>
	2	Second Holder	<input type="checkbox"/> <input type="checkbox"/>
	3	Third Holder	<input type="checkbox"/> <input type="checkbox"/>
6	Mode of receiving Statement of Account [Tick any one]	<input type="checkbox"/> Physical Form	
		<input type="checkbox"/> Electronic Form [Read Note 3 and ensure that email ID is provided in KYC Application Form].	
7	For Joint accounts, communication to be sent to (See Note 5)	<input type="checkbox"/> First holder <input type="checkbox"/> All joint account holders	

I Guardian Details (where sole holder is a minor):

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

Guardian Name										
PAN										
Relationship of guardian with minor										

J Nomination Option

I/We wish to make a nomination. [Details are provided at FORM 10] I/We do not wish to make a nomination.

K Mode of Operations for Joint Accounts

Jointly Anyone of the holder or survivor(s) First Holder

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.

Declaration

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

Name(s) of holder(s)		Signature(s) of holder
Sole/ First Holder/ Guardian (in case sole holder is minor) (Mr./Ms.)		X
Second Holder (Mr./Ms.)		X
Third Holder (Mr./Ms.)		X

Notes :

- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.
- In case if 'first holder' is selected, the communication will be sent as per the preference mentioned at Sr. No. 4. In case 'All joint account holders' is opted, communication to first holder will be sent as per the preference mentioned at Sr. No. 4 and communication to other holders will be in electronic mode. The default option will be communication to 'first holder', if no option selected.
- Strike off whichever is not applicable.

=====
 Mindex Capital Market Pvt Ltd
 1306, Padma Tower-1, Rajendra Place, New Delhi - 110008
 DP ID :-IN305031

Received the application from Mr/Ms _____ as the sole/first holder alongwith _____ and _____ as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you in all your future correspondence.

Date:

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Participant Stamp & Signature

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT (FOR NON-INDIVIDUAL)**Mindex Capital Market Pvt. Ltd.** CIN: U74899DL1995PTC066020

Member : NSE, BSE & MCX(DP-CDSL & NSDL) | SEBI REGN. NO.: INZ000181235

DP Regd No: IN-DP-835206 Regd. Office: 1306, Padma Tower-1, Rajendra Place, New Delhi-110008 | Ph.: 011-40904000

Receipt No.	
Cash/Cheque No.	
Amount (Rs.)	
Branch	

(To be filled by the Depository Participant)

Application No.		Date	D	D	M	M	Y	Y	Y	Y							
DP Internal Reference No.																	
DP ID	1	2	0	7	8	7	0	0	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 the following details

Holders Details

Sole/First Holder Name		PAN							
Search Name		UID							
Second Holder Name		PAN							
		UID							
Third Holder Name		PAN							
		UID							

Name *

* 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"/> Body Corporate	<input type="checkbox"/> Bank	To be filled by the DP
<input type="checkbox"/> Trust	<input type="checkbox"/> Mutual Fund	
<input type="checkbox"/> OCB	<input type="checkbox"/> FII	
CM	<input type="checkbox"/> FI	
	<input type="checkbox"/> Clearing House	
	<input type="checkbox"/> Others (Specify) _____	
SEBI Registration No. (if Applicable)		SEBI Regn. Date
RBI Registration No. (if Applicable)		RBI Approval Date
Nationality	<input type="checkbox"/> Indian	<input type="checkbox"/> Others (specify) _____

I/We instruct the DP to receive each and every credit in my/our account (If not marked, the default option would be 'Yes')	[Automatic Credit]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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')		<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation	<input type="checkbox"/> Daily	<input type="checkbox"/> Weekly
		<input type="checkbox"/> Fortnightly	<input type="checkbox"/> Monthly
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____		<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We would like to share the email ID with the RTA		<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)	<input type="checkbox"/> Physical /	<input type="checkbox"/> Electronic /	
	<input type="checkbox"/> Both Physical and Electronic		

Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange																			
Name of CC/CH																			
Clearing Member Id																			
I/We wish to receive dividend / interest directly in to my bank account given below through ECS from time to time 1																		<input type="checkbox"/> Yes	
(if not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEB																		<input type="checkbox"/> No	

Bank Details [Dividend Bank Details]				(* 9 digit MICR Code)				(* 11 Character)			
Bank Code*				IFSC Code*							
Bank A/c No.				Bank A/c Type	<input type="checkbox"/> Saving	<input type="checkbox"/> Current	<input type="checkbox"/> Others	Pl. Specify			
Bank Name				Branch Name							
Bank Branch Address	City/town/village						PIN Code				
	State						Country				

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.
➤ In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

Other Details

Gross Annual Income Details	Income Range per annum		
	<input type="checkbox"/> Up to Rs. 1,00,000	<input type="checkbox"/> Rs. 1,00,001 to Rs. 5,00,000	<input type="checkbox"/> Rs. 5,00,001 to Rs. 10,00,000
	<input type="checkbox"/> Rs. 10,00,001 to Rs. 25,00,000	<input type="checkbox"/> Rs. 25,00,001 to Rs. 1,00,00,000	<input type="checkbox"/> More than Rs. 1,00,00,000
Net worth as on (Date) ___/___/20__ Rs. _____ [Net worth should not be older than 1 year]			

Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) . Please provide details as per Annexure 2.2A.

Any other information

SMS Alerts Facility	Mobile No.	+ 9 1									
Refer to Terms & Conditions given as Annexure 2.4	[(Mandatory , if you are giving Power of Attorney (DDPI)]										
	(If DDPI is not granted & you do not wish to avail of this facility, cancel this option).										

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. 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.

	Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature			

(Signatures should be preferably in black ink). (In case of more authorised signatories, please add annexure)

ACCOUNT OPENING FORM (NSDL)
(FOR NON-INDIVIDUALS)

Mindex Capital Market Pvt Ltd 1306, Padma Tower-I, Rajendra Place, New Delhi - 110008 DP ID :-IN305031		Client -ID (To be filled by Participant)								
We request you to open a depository account in our name as per the following details: <i>(Please fill all the details in CAPITAL LETTERS only)</i>		Date	D	D	M	M	Y	Y	Y	Y
A) Details of Account holder(s):										
	Name	PAN								
	Sole/ First Holder									
	Second Holder									
	Third Holder									
B) Type of account										
<input type="checkbox"/> Body Corporate <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> Qualified Foreign Investor <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Trust <input type="checkbox"/> Bank <input type="checkbox"/> CM <input type="checkbox"/> HUF <input type="checkbox"/> Other (Please specify)										
C) For Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., although the account is opened in the name of the partner(s), trustee(es) etc., the name & PAN of the Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., should be mentioned below:										
a) Name		b) PAN								
D) Income Details (please specify)										
Income Range per annum					and	Networth				
<input type="checkbox"/> Below ` 20 Lac						Amount (₹) _____				
<input type="checkbox"/> ` 20 – 50 Lac						As on _____				
<input type="checkbox"/> ` 50 Lac – 1 crore						(date) D D M M Y Y Y Y (Networth should not be older than 1 year)				
<input type="checkbox"/> Above ` 1 crore										
E) In case of FIIs/Others (as may be applicable)										
RBI Approval Reference Number										
RBI Approval date		D	D	M	M	Y	Y	Y	Y	
SEBI Registration Number (for FIIs)										
F) Bank details										
1	Bank account type	<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others _____								
2	Bank Account Number									
3	Bank Name									

4	Branch Address													
		City/town/ village												PIN Code
		State												Country
5	MICR Code													
6	IFSC													
G)	Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)												
H)	Clearing Member Details (to be filled up by Clearing Members only)													
1	Name of Stock Exchange													
2	Name of Clearing Corporation/ Clearing House													
3	Clearing Member ID													
4	SEBI Registration Number													
5	Trade Name													
6	CM-BP-ID (to be filled up by Participant)													
I)	Standing Instructions													
1	We authorise you to receive credits automatically into our account.	<input type="checkbox"/> Yes <input type="checkbox"/> No												
2	Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes <input type="checkbox"/> No												
3	Auto Pledge Flag(if not marked ,the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No												
4	<u>Account to be operated through Demat Debit and Pledge Instruction (DDPI)</u>	<input type="checkbox"/> <u>Yes</u> <input type="checkbox"/> <u>No</u>												
5	SMS Alert facility													
	Sr. No.	Holder	Yes	No										
	1	Sole/First Holder	<input type="checkbox"/>	<input type="checkbox"/>										
	2	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>										
	3	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>										
6	Mode of receiving Statement of Account [Tick any one]	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form [Read Note 3 and ensure that email ID is provided in KYC Application Form].												

Declaration

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it. I/we acknowledge the receipt of copy of the document, “Rights and Obligations of the Beneficial Owner and Depository Participant”.

Authorised Signatories (Enclose a Board Resolution for Authorised Signatories. In case of HUF details of Karta to be given)

Sole/First Holder	Name	Signature(s)
First Signatory/Karta of HUF		X
Second Signatory		X
Third Signatory		X
<u>Other Holders</u>		
Second Holder		X
Third Holder		X

Mode of Operation for Sole/First Holder (In case of joint holdings, all the holders must sign. In case of HUF this is not applicable)	
<input type="checkbox"/> Any one singly	
<input type="checkbox"/> Jointly by	
<input type="checkbox"/> As per resolution	
<input type="checkbox"/> Others (please specify)	

Notes:

1. In case of additional signatures, separate annexures should be attached to the application form.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. For receiving Statement of Account in electronic form:
 - I. Client must ensure the confidentiality of the password of the email account.
 - II. Client must promptly inform the Participant if the email address has changed.
 - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
4. Strike off whichever is not applicable.

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Central Depository Services (India) Ltd. (CDSL)

25th Floor, Marathon Futorex, A -Wing, NM Joshi Marg Lower Parel (East), Mumbai - 400 013.

Phone 23023333 Fax: 91 - 22 – 23002035/36, Website http://www.cdslindia.com

ELECTRONIC ACCESS TO SECURITIES INFORMATION & EXECUTION OF SECURE TRANSACTIONS (EASIEST)

Registration Form-Beneficial Owner(s)(BO)/ Clearing Member (CM)

Name of the Beneficial Owner(s)/ Clearing Members(CM)								1.									
								2.									
								3.									
DP ID								Client ID									
1	2	0	7	8	7	0	0										
User Name																	
DP Name								MINDEX CAPITAL MARKET PRIVATE LIMITED									
DP Address								1306, PADMA TOWER-1 RAJENDRA PLACE NEW DELHI-110008									
E Mail Address of the BO/CM																	
Tel No.																	
Transfer Option								Trusted A/c		Y		Account of Choice					
Details of Trusted A/c (Submit the under taking from Trusted a/c holders as per format attached, applicable only if Trusted A/c option is selected)																	
Sr No		DP ID						Client ID									
1	1	2	0	7	8	7	0	0	0	0	0	0	0	3	3	4	7
1	2	0	2	0	6	0	0	0	0	0	0	0	0	0	2	7	0

I/We would like to register above-mentioned account for the easiest service. I/We hereby agree to the terms and conditions I/we have read earlier for availing the said service.

Date

Place

Name	First/Sole Holder or Guardian (in case of Minor)							Second Holder							Third Holder											
Signature																										

(Signatures should be preferably in black ink).

This is to certify that

1. _____ 2. _____ 3. _____

are maintaining BO A/c no.

1	2	0	7	8	7	0	0								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

with us. We have verified the signatures of the said account holders and they match with the specimen signatures as per our records.

Date

Place

Signature _____

(Authorised Signatory & Stamp of DP)

BROKERAGE CHARGES FOR TRADING ACCOUNT (Tariff Sheet)

Further, I agree to the following terms of doing business

Segment	Sq off % Buy		Sq off Min (ps) Buy		Settlement % Buy		Settlement Min (ps)	Delivery %	Delivery Min (ps)	Flat Brokerage (per trade)
	Buy	Sell	Buy	Sell	Buy	Sell				
Cash										
Futures										
Options										
Currency Derivative										
Currency Option										
Commodity										

Note: Delay payment charges @1.5% p.m. would be charged for debit/shortage in pay in/margin defaults, as per exchange requirements. Depository/Pledge charges for the movement of shares between pool/beneficiary/margin account for pay in/payout or margin purpose will be charged. Transaction charges/statutory charges/courier/administration/processing charges will be charged as applicable. In case you are using internet trading software NOW, any charges levied will be debited to your account. Further, as Mindex Capital Market Private Limited is a Trading Member, clearing member charges will be charged.

Signature of the Client:

Date: - -

Name: _____

UCC: _____

SCHEDULE OF CHARGES OF DEMAT ACCOUNT (CDSL & NSDL)

DP ID	CDSL: 12078700 & NSDL: IN305031	
About Us	MINDEX CAPITAL MARKET PVT LTD	
Services	Depository Participant	
Account Maintenance	<input type="checkbox"/> Scheme A - Rs. 300/-P.A. for Individual/HUF, <input type="checkbox"/> Scheme B - Lifetime Rs. 1499/- for Individual, <input type="checkbox"/> Scheme C - Rs. 999/- P.A. for Corporate/Firm, <input type="checkbox"/> Scheme D - for BSDA Account - No AMC if holding value less than Rs. 400000/-, Rs. 100/- if holding value between Rs. 400001/- to Rs. 1000000/-, Full AMC charges if holding value more than 1000000/- (First DIS issue FOC for all schemes)	
Demat	For Scheme A/B/C/D - Rs. 10/- Per Certificate (Minimum Rs. 100/-) + Courier Charges Rs. 50/Local 100/Outside- Per ISIN.	
Remat	For Scheme A/B/C/D Rs. 150/- per Certificate + Rs.100 Courier Charges+ CDSL/NSDL Charge as per Actual	
Transaction (Debit)	Equity Market Sale for Scheme A/B/C- Rs 15/- or .010 % of the value of Trans. Whichever is Higher, Off Market Sale for Scheme A/B/C Rs 100/- or .03 % of the value of Trans. whichever is Higher. Market Sale for Scheme D - Rs. 50/- or .015 % of the value of Trans. whichever is Higher, Off Market Sale for Scheme D - Rs 100/- or 0.03% of the value of Trans. whichever is Higher. Debt Market Sale for Scheme A/B/C/D- Rs 100/- or .010 % of the value of Trans. whichever is Higher, Off Market Sale for Scheme A/B/C/D Rs 100/- or .015% of the value of Trans. whichever is Higher.	
Pledge Creation	Rs. 75/- Per ISIN or 0.02 % of value of Transaction whichever is Higher	
Pledge Creation Confirmation	NIL	
Pledge Closure	Rs. 75/- Per ISIN or 0.01 % of value of Transaction whichever is Higher	
Pledge Closure Confirmation	NIL	
Pledge Invocation	Rs. 75/- Per ISIN or 0.02 % of value of Transaction whichever is Higher	
Failed Instruction Charges	NIL	
Other Charges	For Scheme A/B/C - KRA Charges - Rs. 100/-, DIS Against Requisition - Rs. 40/- for 20 leaves, Addl. SOA -Rs. 10/- per page, Account Detail Modification Charges - Rs. 50/-. For Scheme D - KRA Charges - Rs. 50/-, DIS Against Requisition - Rs. 100/- for 20 leaves, Addl. SOA Rs. 25/- per page, Account Detail Modification Charges - Rs. 50/-. For Scheme A/B/C/D Any other documents requested by customer will charge Rs. 50/- towards Local Courier Charges & Rs.100/- towards Outstation Courier Charges	

Please Note:

- Billing will be done on a monthly basis.
- The depository rules, regulations, and charges are subject to change from time to time as per CDSL/NSDL revisions.
- Instructions sent via fax are not permissible. A client intending to send instructions via fax must execute an indemnity before doing so, and the original instructions must reach our office within 24 hours.
- All cheques/drafts should be made in favor of "Mindex Capital Market Pvt Ltd."
- All charges are payable on a monthly basis, and delayed payments will incur interest at a rate of 1% per month.
- Mindex may suspend or freeze the depository services of the account holder for non-payment of outstanding bills.
- In case a DIS requisition slip is lost and a DIS re-issuance request is received on plain paper, an Amount of ₹50 shall be charged.
- GST will be applicable as per actual.

*Annual Charges will be charged in case of account closure within One year from the Date of Opening.

##NSDL Charges for Sell transaction and off Market Transfer transaction - However, for accounts covered by the Youth Plan, NSDL will not charge Settlement Fees in a Client's account for a period three years from the date of opening a new client account within one year of the Youth Plan's introduction.

I Have read the scheme of charges and the notes above. Please place my/our account under Scheme.

First / Sole Holder Sign	Second Holder Sign	Third Holder Sign

Declaration for Basic Services Demat Account (BSDA)

Date	D	D	M	M	Y	Y	Y	Y	Y
------	---	---	---	---	---	---	---	---	---

To,
MINDEX CAPITAL MARKET PVT.LTD.
1306, Padma Tower-1, Rajendra Place, New Delhi-110008

With reference to my / our application for opening a depository account, I/We request you to open my /our depository account as per the following details:

	Name	PAN
Sole/First Holder		
Second Holder		
Third Holder		

I/We have read and understood the Securities and Exchange Board of India's guidelines for facility for a BSDA. I/We are aware that if I/we are eligible to open a depository account as a BSDA, the account shall be opened as a BSDA.

I/We also understood that in case, I/We at any point of time do not meet the eligibility criteria as a BSDA holder, my / our demat account is liable to be converted to regular account.

I/We also state that if at any time choose to opt out of BSDA i.e. avail the facility of regular account the same will be communicated to the participant from Sole / First Holder registered email ID.

Signatures  _____  _____  _____
 Sole/First Holder Signature Second Holder Signature Third Holder Signature

Sole / First Holder's Name : _____ Second Holder's Name: _____ Third Holder's Name: _____

BO ID : _____

Note

An individual shall be eligible for BSDA subject to the following conditions:

- a) The individual has or proposes to have only one demat account where he/she is the sole or first holder.
- b) The individual shall have only one BSDA in his/her name across all depositories.
- c) Value of securities held in the demat account shall not exceed 10 Lakhs for debt and other than debt securities combined at any point of time.

The charge structure shall be as indicated below: Value of Holdings in the Demat Account (Debt as well as other than debt securities combined)	Annual Maintenance Charges
Up to 4 lakhs	NIL
More than 4 lakhs but up to 10 lakhs	100
More than 10 lakhs Not a BSDA	Regular AMC

VOLUNTARY DOCUMENTS

MINDEX CAPITAL MARKET PVT.LTD.

1306, Padma Tower-1, Rajendra Place, New Delhi-110008.

A.GENERAL AUTHORITY

I/we dealing with you as client at NSE/BSE/MCX in Capital, Derivative, Currency Derivative & Commodity Segment and in order to facilitate ease of operations, I/We authorise you as under:

1. I/We authorise you to set off outstanding in any of my/our accounts against credits available or arising in any other segments maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchange and/or against the value of cash margin or collateral shares provided to you by me/us.
2. I/We request you to retain credit balance in any of my/our account and to use the unused funds towards my/our margin/future obligation at any or all the Exchanges unless I/We instruct you otherwise. I/We also authorize you to debit the necessary demat charges from time to time, for keeping the shares/commodities in your client demat beneficiary account on my/our behalf. I/We also authorise you to debit the financial charges @1% p.m., for the debit balances or delay payment charges for shortage in margin/debit balances, if any, in my /our account and not settled as per the exchange requirements.
3. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephonic unless instructed otherwise in writing. I/We am/are getting required details from contracts notes issued by you.
4. I/We request that you/exchange/other regulatory authority may send/dispatch to me/us contract notes/e-mail alert/other documents through e-mail on my/our designated e-mail address mentioned by me/us in KYC. I/We will completely rely on the log reports of you dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute on the same. I/We note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at my/our e-mail ID.
5. I/We will inform you the change of my/our demographic detail and other detail like Bank, DP etc.
6. I/We are aware and acknowledge that trading of all exchanges is in Electronic mode, based on Vsat, lease line, ISDN, Modem, VPN, Internet and/or combination of technologies and computer system to place and route order and also involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, pay in payout of funds & securities, commodities online & offline banking etc. these are susceptible to interruptions, delay, mistake and dislocations; and your services may at any time be unavailable without further notice and I/we understand that there exists a possibility of communication failure or system problems or slow or delay response from system or trading half, or any such other problem/glitch whereby not been able to establish access to the trading system/network or delay in execution of trades, which may be beyond your control any may result in delay in processing or not processing of any orders either in part or in full. I/we understand that you are not making any representation or warranty that your service will be available to the Client at all times without any interruption. I/We agree that I/We shall not have any claim for any loss incurred by me/us against you on account of any suspension, delay, interruption, non availability or malfunctioning of your System or Service for any reason whatsoever.
7. I/We confirm that I/We never sublet the trading terminal on any term of connectivity from my/our place to any other place without your prior approval.
8. I/We am/are agreeable for inter-settlement transfer of securities/commodities towards settlement.
9. I/We am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
10. All fines/penalties and charges levied upon you due to my/our acts / deeds or transaction may be recovered by you from my/our account.
11. I/we have a Trading as well as depository relationship with Mindex Capital Market Pvt. Ltd. Please debit the charges relevant with depository services to my/our trading account. I/we also agree to maintain the adequate balance in my/our trading account/ pay adequate advance fee for the said reason.
12. I/we authorise you to send me/our the physical Contract notes/Margin statement/Ledger/Other documents through postal/courier and to charge administrative/postal/other charges if the contract notes sent to me get bounced more than 5 times.
13. For the purpose of providing quality and transparent services to its clients, the Mindex Capital Market Pvt. Ltd. may record your conversation while interacting with you."

B. FIT AND PROPER PERSON DECLARATION

As per Regulation 19(1) of Securities Contracts (Regulation) (Stock Exchanges and Clearing Corporations) Regulations, 2012 (SECC Regulations) which states that no person shall, directly or indirectly, acquire or hold equity shares of a recognised Stock Exchange or recognised Clearing Corporation unless he is a fit and proper person in terms of Regulation 19 and 20 of the said SECC Regulations.

Regulations 19 and Regulations 20 as prescribed by SEBI (herein referred as "Board") are reproduced below:

- i. **Eligibility for acquiring or holding shares.**
 - 1) No person shall, directly or indirectly, acquire or hold equity shares of a recognised stock exchange or recognised clearing corporation unless he is a fit and proper person.
 - 2) Any person who, directly or indirectly, either individually or together with persons acting in concert, acquire equity shares such that his shareholding exceeds two per cent of the paid up equity share capital of a recognised stock exchange or recognised clearing corporation shall seek approval of the Board within fifteen days of the acquisition.
 - 3) A person eligible to acquire or hold more than five per cent of the paid up equity share capital under sub-regulation (2) of regulation 17 and sub-regulation (2) of regulation 18 may acquire or hold more than five per cent of the paid up equity share capital of a recognised stock exchange or a recognised clearing corporation only if he has obtained prior approval of the Board.
 - 4) Any person holding more than two per cent. of the paid up equity share capital of the recognised stock exchange or the clearing corporation on the date of commencement of these regulations, shall ensure compliance with this regulation within a period of ninety days from the date of such commencement.
 - 5) If approval under sub-regulation (2) or (3) is not granted by the Board to any person, such person shall forthwith divest his excess shareholding.
 - 6) Any person holding more than two per cent. of the paid up equity share capital in a recognised stock exchange or a recognised clearing corporation, as the case may be, shall file a declaration within fifteen days from the end of every financial year to the recognised stock exchange or recognised clearing corporation, as the case may be, that he complies with the fit and proper criteria provided in these regulations.
- ii. **Fit and proper criteria.**
 - 1) For the purposes of these regulations, a person shall be deemed to be a fit and proper person if —
 - a) Such person has a general reputation and record of fairness and integrity, including but not limited to —
 - i. Financial integrity;
 - ii. Good reputation and character; and
 - iii. Honesty;
 - b) Such person has not incurred any of the following disqualifications —
 - i. The person, or any of its whole time directors or managing partners, has been convicted by a court for any offence involving moral turpitude or any economic offence or any offence against the securities laws;
 - ii. An order for winding up has been passed against the person;
 - iii. The person, or any of its whole time directors or managing partners, has been declared insolvent and has not been discharged;
 - iv. An order, restraining, prohibiting or debarring the person, or any of its whole time directors or managing partners, from dealing in securities or from accessing the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the expiry of the period specified in the order has not elapsed;
 - v. Any other order against the person, or any of its whole time directors or managing partners, which has a bearing on the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the order has not elapsed;
 - vi. The person has been found to be of unsound mind by a court of competent jurisdiction and the finding is in force; and
 - vii. The person is financially not sound.
 - 2) If any question arises as to whether a person is a fit and proper person, the Board's decision on such question shall be final.

I/we hereby declare that, I/we am/are fit & proper person as per the above rules & Regulations of the SEBI.

C. LETTER OF AUTHORISATION TO PLEDGE THE SECURITIES WITH CLEARING MEMBER/ CLEARING CORPORATION

I/We are dealing through you as a client registered in NSE/BSE/MCX in Capital Market/ Future & Options/ Currency Derivatives/ Commodity Segments. I/we have pledged/provided you the securities (including shares and commodities both - hereafter referred as " said Securities") as margin. I/we hereby confirm and declare that:

- i. The said Securities are in existence, owned by me/us and are and shall be free from any charge, lien or encumbrance, whether prior or otherwise.
- ii. The said Securities will be subject to the creation of pledge in favour of or for the benefit of Trading Member and further that the said Securities over which pledge may be created in future would be in existence and owned by me/us at the time of creation of such pledge and that the said Securities to be given in future as security to Trading Member would likewise be unencumbered, absolute and disposable property of me/us.
- iii. I/we authorise you to do all such acts and things, sign such documents and pay and incur any such costs, debts and expenses as may be necessary from time to time.
- iv. I/ we agree that the said Securities shall be subject to the first priority and lien in favour of Trading Member to secure, my/ our obligations and that the rights or interests of me/ us with respect to the said Securities shall be subject and subordinate to the rights, claims and interests of Trading Member in respect of the said Securities.
- v. You may invoke the pledge without any reference to or permission of me/ us and upon receipt of the said Securities, Trading Member may utilize the proceeds in meeting my/our obligations in such manner as it may deem fit and that such invocation of pledge will be final and irrevocable against me/us.
- vi. I/we shall not make any claims or demands for refund or any reimbursement in relation to the said Securities.

D. INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT

1. Stock broker is eligible for providing Internet based trading (IBT) and securities/commodities 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/commodities 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/commodities 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.

Signatures



Sole/First Holder Signature



Second Holder Signature



Third Holder Signature

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.

I have read and agreed to the above points



Signature of the Client :

Name of the Client :

UCC:

BO ID:

LETTER OF AUTHORITY TO TRADE

TO,

MINDEX CAPITAL MARKET PRIVATE LIMITED

1306, Padma Tower-1, Rajendra Place New Delhi-110008

Sub: Authority to trade on my / our behalf.

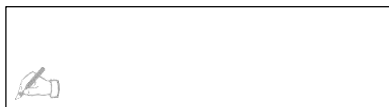
Dear Sir/Madam,

I hereby authorise Mr/Ms. _____ S/d of _____
having PAN _____, UID No _____ & Mobile No _____ is my
husband/wife/son/daughter/brother/sister/parents/other (Please Specify) _____ to trade on my
behalf in my trading a/c No _____ and to perform all or any of the following acts, deeds and things for and on
my /our behalf and in my/our interest.

I/we confirm that the aforementioned Authorised Person is well aware of risks associated with trading.

1. To operate the Account on my/our behalf.
2. To issue necessary instructions to you, for purchase, sale or transfer of shares and commodities from or to the Accounts as per Representative own judgment, and to sign necessary documents, wherever required effectuating such instructions of purchase, sale or transfer of securities and commodities from or to the Account.
3. To make or cause to make payments to MINDEX CAPITAL MARKET PRIVATE LIMITED whenever necessary, and in accordance with my/our obligations in accordance with the terms and conditions of various agreements executed between me/us and MCMPL.
4. To duly honour all my/our contractual obligations under various agreements executed between me/us and MCMPL. including but not limited to the "Member Constituent Agreement" and/or any other undertaking, commitment issued by my/us in favour of MCMPL.
5. To accept and give valid discharges for acceptance and submission of contract notes, bills, ledger statements, transaction statements and all correspondence on my behalf and report any discrepancy therein to MCMPL.
6. To receive & accept necessary telephonic calls pertaining to margin &/or trade confirmation or any other call including verification call from MCMPL. at designated mobile no. & undertake to update this contact detail in writing with MCMPL. in the event of any such change, taking place at any time in future.
7. To sincerely abide by the Statutes, Rules, Regulations and Guidelines prescribed for the purpose and in relation to the operation of the Account.
8. I/we hereby agree and undertake that all such acts, deeds and things done by the Representative shall be deemed to be binding upon me/us as the same has been done by me/us only and I/we shall hereby ratify all and such acts, deeds, or things done by Representative in any manner whatsoever in discharge of the duties conferred upon him/her under the present instrument.
9. I/we hereby agree and undertake to indemnify and keep MCMPL. including its directors, officers and employees indemnified against any loss, claims, liabilities, obligations, damages, deficiencies, actions, suits, or proceedings aroused / accrued or caused to the MCMPL. for any wrong act, deed or thing done by the Representative in any manner whatsoever in exercise of the powers conferred upon him.
10. I/we further undertake and agree not to challenge any act, deed or things done by said Representative in any manner.
11. I/we hereby agree and acknowledge that this letter of Authority shall be effective and operational until MCMPL. received and acknowledged revocation letter at its registered office.

Sign here :



Authorised Person Signature _____

Running Account Authorisation

To
Mindex Capital Market Pvt. Ltd.
1306, Padma Tower-1, Rajendra Place, New Delhi-110008

Dear Sir/Madam,

I am dealing through you as client in Capital Market and/ or Future & Option segment and/ or commodity segment and/or Currency Derivatives at BSE/NSE/MCX. In order to facilitate ease of operations and upfront requirement of margin for trade.

I authorize you as under:

- a. I/We request you to maintain running balance in my/our 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) at any segment(s) of the Exchange/ Clearing Corporation, unless I/We instruct you otherwise.
- b. I/We request you to settle my/our fund account once in Quarterly Basis() or / Monthly Basis () or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/ margin in form of Bank Guarantee and /or Fixed Deposit Receipts.
- c. I/We confirm you that I/We will bring to your notice any dispute arising from the statement of account or settlement so made in writing 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.

The running account authorization provided by me/us shall continue and remain valid until is revoked by me/us anytime in writing.

Thanking you,
Your faithfully,

Name of Client:

UCC:

BO ID:

[Note: To be signed by person himself/herself not be signed by his/her attorney/ Authorised Person etc.]

.....
Client Signature

Consent for sharing Aadhar Details with SEBI/KRA Agencies.

To,




MINDEX CAPITAL MARKET PRIVATE LIMITED

1306, Padma Tower-1,
Rajendra Place New Delhi-110008

I/We understand that Mindex Capital Market Private Limited is in the business of providing trading services for buying/selling of securities to its clients.

I/We am/are aware of other modes of KYC which are available and I/we have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA agencies only for the specific purpose validating/ maintaining/ sharing my/our KYC record and as audit evidence. I/we will have an option to request for deleting of my/our Aadhaar record.

I/We hereby give my consent for receiving information including Central KYC Registry through SMS/Email on the above registered mobile number/email address. I am/we are also aware that for Aadhaar OVD based KYC, my/our KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my/our Aadhaar XML/Dig locker XML file, along with pass code and as applicable, with SEBI, KRA, CKYC and other Institutions/ agencies/ Intermediaries with whom I/we have a business relationship for KYCpurposes only.

	First/sole Holder	Second Joint Holder	Third Joint Holder
NAME			
Signatures			

**DECLARATION OF UNDERLYING EXPOSURE FOR CURRENCY DERIVATIVES
TRADED WITH MINDEX CAPITAL MARKET PRIVATE LIMITED**

TO,

MINDEX CAPITAL MARKET PRIVATE LIMITED

1306, Padma Tower-1,
Rajendra Place New Delhi-110008

Dear Sir,

I/We hereby acknowledges and accepts the following terms and conditions pertaining to my/our dealings in exchange traded currency derivatives with Mindex Capital Market Private Limited:

1. I/We hereby confirm adherence to clause 3.4 (i) (a) of the circular number RBI/2023-2024/108 A. P. (DIR Series) Circular No. 13 issued by the Reserve Bank of India (RBI) on January 5, 2024. Furthermore, I/We verify possessing underlying exposure to the currency derivative contracts Mindex Capital Market Private Limited, and confirm that they are as per the aforementioned RBI directive.
2. I/We hereby pledge to adhere to position size within a limit of one hundred million United States Dollars (USD 100,000,000) as mandated by exchanges/RBI. In the event that position surpasses this designated threshold, I/We agree to handle the surplus position through an Authorized Dealer or Custodian, as deemed suitable.
3. I/We hereby commit to provide sufficient evidence of the underlying exposure related to my/our currency derivative contracts upon request from Mindex Capital Market Private Limited, the relevant exchanges, or the RBI.
4. I/We hereby reimburse Mindex Capital Market Private Limited and releases it from any liabilities, losses, damages, or costs that may arise if I/We fails to produce the required evidence of underlying exposure as stipulated in point 4 above This reimbursement covers any legal actions, claims, demands, or expenses incurred by Mindex Capital Market Private Limited due to the non- compliance by me/us with these conditions.

I/We have read and agree to these conditions by signing below, and also commits to abide by the provisions delineated herein. Further, I/we have received a copy of relevant RBI guideline in this regard.

Signatures



First Holder Signature



Second Holder Signature



Third Holder Signature

DECLARATION BY KARTA & ALL THE CO-PARCENERS (for HUF only)

To,
MINDEX CAPITAL MARKET PRIVATE LIMITED
1306, Padma Tower-1,
Rajendra Place New Delhi-110008

Dear Sir/Madam,

1. Whereas the Hindu Undivided Family of is carrying on business in the firm name and style of at as given in PAN card of HUF or we intent to deal have or desire to open trading and/or demat Account with Mindex Capital Market Private Limited. (hereinafter referred as Member). We undersigned, hereby confirm and declare that we are the present adult coparceners of the said joint family. Name of Karta & Coparceners are given in below table.
2. We confirm that affairs of HUF firm are carried on mainly by the Karta on behalf and in the interest and for the benefits of all the coparceners. We hereby authorize the Karta on behalf of the HUF to deal with the member and the said trading member is hereby authorized to honor all instructions oral or written, given by him on behalf of the HUF. He is authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through the member on behalf of the HUF.
3. He is also authorize to sign execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said HUF firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every coparceners of the said joint family, including the share of the minor coparceners, if any.
4. We undertake to advise the member in writing of any change that may occur in the Karta ship or in the constitution of the said joint family or of the said HUF firm and until receipt of such notice by the member who shall be binding on the said joint family and the said HUF firm and on our respective estates. We shall, however continue to be liable jointly and severally to the member for all dues obligations f the said HUF firm in the Member's book on the date of the receipt of such notice by the member and until all such dues and obligations shall have been liquidated and discharged.
5. The names and dates of the birth of all the present minor & major coparceners of the said joint family are given below. We also undertake to inform you in writing as and when each of the said members attains the majority and is authorized to act on behalf of, and bind the said HUF firm
6. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

List of Members / Coparcener

S.NO.	Name of Coparcener/Member	Relationship with Karta	Gender	Date of Birth	Pan	Signature
1.						
2.						
3.						
4.						
5.						
6.						

Signature of Karta with Rubber Stamp

A. STATEMENT OF ACCOUNT RECEIVING IN ELECTRONIC MODE

TO,

MINDEX CAPITAL MARKET PRIVATE LIMITED

1306, Padma Tower-1, Rajendra Place
New Delhi-110008

I/We had entered into DP BO agreement with you. I/We confirm having opted to receive the statement of accounts pertaining to our BO account in electronic mode in lieu of physical copy of the statement of account.

I/We confirm that the dispatch of statement of account to me/us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me/us with statement of my/our BO account. But, I/we reserve my/our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode on the given Email Id as per KYC, if such a demand is made in writing on you.

I/We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch/service of my/our statement of account on me/us shall not be binding upon you unless you are intimated in writing by me/us by acknowledged delivery.

Yours faithfully,

Signatures

_____ **First Holder Signature**

_____ **Second Holder Signature**

_____ **Third Holder Signature**

Name/s of the beneficial owner/s Signature/s (all joint holders)

B. ELECTRONIC CONTRACT NOTE (ECN) DECLARATION (VOLUNTARY)

To,

MINDEX CAPITAL MARKET PRIVATE LIMITED

1306, Padma Tower-1, Rajendra Place
New Delhi-110008

Dear Sir,

I/We a client with Member M/s. Mindex Capital Market Private Limited of NSE, BSE, & MCX Exchange undertake as follows:

- . I/We am/our aware that the Member has to provide physical contract note in respect of all the trades placed by me/us unless I/We myself/ourself want the same in the electronic form.
- . I/We am aware that the Member has to provide electronic contract note for my/our convenience on my/our request o only.
- . Though the Member is required to deliver physical contract note, I/We find that it is inconvenient for me/us to receive physical contract notes. Therefore, I/we am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me/us.
- . I/We have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- . My/our email id is as given on KYC. This has been created by me/us and not by someone else.
- . I/We am aware that this declaration form should be in English or in any other language known to me/us.
- . I/We am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.
- . I/We will communicate through physical letter to MINDEX CAPITAL MARKET PVT LTD, if any change in email id.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me/us. I/we am/are aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

* (The email id must be written in Own handwriting of the client.)

Signature of the Client

COMMODITY OPEN INTEREST & PCD

DECLARATION BY THE CLIENT TO ABIDE THE NET OPEN INTEREST POSITION AS PERMISSIBLE IN ANY COMMODITY

Dear Sir/Madam,

Subject: My / Our request for trading in commodity forward contracts / commodity derivatives on All Exchanges as your client

I/We, the undersigned, have taken cognizance of circular no. MCX/S&I/300/2017 dated August 23, 2017 issued by the Multi Commodity Exchange of India Ltd. (MCX), and relevant circulars issued by NSE, BSE & SEBI like SEBI/HO/CDMRD/DMP/CIR/P/2016 dated September 27, 2016 or any other circulars issued by SEBI/Exchange from time to time on stated matter on the guidelines for calculation of net open positions permitted in any commodity and I/We hereby undertake to comply with the same. I/We hereby undertake that I/we do not trade through any Trading Member other than MINDEX CAPITAL MARKET PRIVATE LIMITED.

OR

I/We hereby declare that I/we are also trading in Commodities through _____ (name of the Trading Member)

having Member ID _____ in MCX NSE BSE under the

Client ID _____ and through _____ name of the Trading Member having Member ID _____

in MCX NSE BSE under the Client ID _____.

I/We hereby declare and undertake that I/we will not exceed the position limits prescribed from time to time by MCX/NSE/BSE or SEBI and such position limits will be calculated in accordance with the contents of above stated circulars of all exchanges as modified from time to time.

I/We undertake to inform you or keep you informed if any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/Trusts in which I/we or any of above such person is a partner/director/karta/trustee, take or holds any position in any commodity forward contract/commodity derivative on MCX/NSE/BSE through you or through any other member(s) of MCX/NSE/BSE, to enable you to restrict my/our position limit as prescribed by the above referred circular of MCX/NSE/BSE as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your client on MCX/NSE/BSE only on the basis of my/our above assurance and undertaking.

I/We further undertake to bear any liability/penalty/charges levied by MCX/NSE/BSE for the non-compliance of the aforesaid circulars or as modified from time to time.

Yours faithfully

Sign here:



PCD (Participants Category disclosure)

To MINDEX CAPITAL MARKET PRIVATE LIMITED, 1306, Padma Tower-1, Rajendra Place, New Delhi-110008, Sub: Participants Category disclosure (circular SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 (04-01-19)) I/We hereby confirm that among the given categories, I/We pertain to category I have ticked and authorize you to update the same in your records and for onward submission with Exchange.		
Categories	All Commodities	Specific Commodities (mention the names of commodities)
FPOs/ Farmers	<input type="checkbox"/> < Tick for All	
VCPs (Arbitrageurs, Importer, Exporter, Hedger, Phy. Mtk Trader, etc.)	<input type="checkbox"/> < Tick for All	
Domestic Financial Institutional Investors (Banks, Insurance Com, Mutual Fund, etc.)	<input type="checkbox"/> < Tick for All	
Foreign Participants (NRI, EFE, etc.)	<input type="checkbox"/> < Tick for All	
Proprietary Traders	<input type="checkbox"/> < Tick for All	
Others	<input type="checkbox"/> < Tick for All	
	Clients Signature : With Date	Sign here:

Declaration of Mobile Number/ Email ID

Date:

To,
Mindex Capital Market Private Limited
 1306, PADMA TOWER-1, RAJENDRA PLACE,
 New Delhi -110008
 CIN: U74899DL1995PTC066020

I/We, hereby declare that the Mobile no.....
 and Email I Belongs
 to Mr./Mrs./Ms.....

1st Holder	Self <input type="checkbox"/>	Spouse <input type="checkbox"/>	Dependent Child <input type="checkbox"/>	Dependent-Parents <input type="checkbox"/>	Authorized Person in Corporate/Trust/Partnership Firm/LLP /HUF Account/Others <input type="checkbox"/>
2nd Holder	Self <input type="checkbox"/>	Spouse <input type="checkbox"/>	Dependent-Child <input type="checkbox"/>	Dependent-Parents <input type="checkbox"/>	Authorized Person in Corporate/Trust/Partnership Firm/LLP /HUF Account/Others <input type="checkbox"/>
3rd Holder	Self <input type="checkbox"/>	Spouse <input type="checkbox"/>	Dependent-Child <input type="checkbox"/>	Dependent-Parents <input type="checkbox"/>	Authorized Person in Corporate/Trust/Partnership Firm/LLP /HUF Account/Others <input type="checkbox"/>

I/We request you to update the same in my trading and demat account and send all the Confirmations and other communication through SMS and EMAIL ID.

Thanking You,

	1st Holder	2nd Holder	3rd Holder
Name			
Signature/ Auth. Signatory			

OPTION FOR ISSUANCE OF DIS BOOKLET ALONGWITH ACCOUNT OPENING

Date	D	D	M	M	Y	Y	Y	Y
------	---	---	---	---	---	---	---	---

DP ID										Client ID								
First Holder Name																		
Second Holder Name																		
Third Holder Name																		

To,
Mindex Capital Market Pvt Ltd
1306, Padma Tower-1, Rajendra Place, New Delhi-110008

Dear Sir / Madam,

I / We hereby state that: [Select one of the options given below]

OPTION 1:

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my/our CDSL/NSDL account though I / we have issued a Power of Attorney (POA) / registered for eDIS / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney holder -Clearing Member / by PMS manager/ for executing delivery instructions through eDIS.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

OR

OPTION 2:

I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a POA/ registered for eDIS / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member / by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

===== (Please Tear Here) =====

Acknowledgement Receipt

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from:

DP ID										Client ID								
Name of the Sole / First Holder																		
Name of Second Joint Holder																		
Name of Third Joint Holder																		

Depository Participant Seal and Signature

GTD/GTC Order Policy

A Good till Date/Cancel (GTD/GTC) order facility enables users to place buying or selling orders with specifying time interval till which the order should stay in the system if not executed for the entire quantity or until cancelled before execution. User doesn't need to place the same orders daily; once user enters the GTD/GTC order it will remain valid till the expiration date specified by the user or until the user decides to cancel it or it gets executed fully. The unfilled orders will cancel at the close of the market on the expiration date specified by the user.

Features:-

- ✓ Allows clients to place long term order after specifying the time interval for which they wish to place the order.
- ✓ GTD/GTC orders eliminate the need for placing the same orders again and again every day.
- ✓ User can place buy/sell orders for specific time interval as per validity specified by the user.
- ✓ Provides an option to view/modify/cancel GTD/GTC order request as per user's convenience.
- ✓ The system shall release GTD/GTC orders for pending quantity to respective exchanges daily till it is not executed for the entire quantity specified by user or its validity has not expired.
- ✓ Provides separate GTD/GTC Order Book which displays all GTD/GTC orders placed by user along with history.
- ✓ Orders can be placed both during and after market hours.
- ✓ This facility can be availed only under Equity CASH segments.
- ✓ Currently maximum validity for GTD/GTC Order is set as 90 days & default GTD/GTC days are 2 days.
- ✓ GTD/GTC release time is 9:15 AM on daily basis & allowed RL / SL orders in NSE Cash Segment only.
- ✓ In case of any order will be surveillance rejected on any day then it will be rejected only for that day, no impact on subsequent orders which will be carried.
- ✓ If any Dealer suspended or deleted having GTD/GTC Orders too then in that case Client GTD/GTC order will also get deleted from system and need to place another order by another dealer.

FAQ

Q1. – Who can place GTD/GTC order?

Ans. – A Dealer on behalf of the client, client at their own using Mindex Edge Online app/web can place GTD/GTC order.

Q2. – What will happen to GTD/GTC order if Validity date is a Trading Holiday?

Ans. – The Order will be valid till previous trading day.

Q3. – What will happen if I place GTD/GTC order without sufficient margin in my trading account?

Ans. – The child order generated for this order will get rejected daily if there is no sufficient margin available.

Q4. – What Brokerage will be charged on GTD/GTC order?

Ans. – Delivery/Intraday brokerage applicable to the client according to his opted plan will be charged.

Q5. – Can I place order in any stock?

Ans. – Yes GTD/GTC order can be placed in any stock open for Delivery trading as per prevailing RMS policy.

Q6. – How clients can see their pending GTD/GTC orders.

Ans. - Clients can view GTD/GTC orders in online app/web by changing filter to Good till Date/Cancel. Under menu Orders-> GTT Book.

As per exchange circular ref. no. 40/2024 dated June 21, 2024, related to corporate actions, such orders could lead to absurd trades and investors are at risk of facing losses, mechanism for handling such orders is as under;

- Details of Good Till Cancelled / Good Till Triggered / orders of similar type including its validity.
- The intimation to respective clients about details of upcoming corporate actions for such unexecuted orders placed in the account shall be sent through SMS / e-mail on same day (i.e., 1 trading day prior to Ex-Date of Corporate Action) and the user is required to check the order carefully and take an appropriate action including modification / cancellation of such orders.
- Manner of handling of such case of corporate actions, such orders will send to the exchange for execution and such order may reject in case the selected price is out of DPR (Daily Price Range).

In case of any query / concern, client may connect with Customer Care at info@mindexcapital.com or call us at **011-40904000/9311093150** during market hours.

I have read & agreed the above points.

First / Sole Holder Sign	Second Holder Sign	Third Holder Sign

REQUEST FOR TRADE ALERTS THROUGH SMS AND/OR E-MAIL

To,

Date : --

Mindex Capital Market Pvt. Ltd.

1306, Padma Tower-1, Rajendra Place, New Delhi-110008

Tel.: 011-40904000

Dear Sir,

I/We have been/ shall be dealing through you as my/our broker on the capital market and/or future & option/currency derivative segment(s).

I/we am/are as a registered client of Mindex Capital Market Private Limited(MCMPL) confirm as follows:

1. I/We am/are aware that National Stock Exchange of India Limited (NSE) and Bombay Stock Exchange Limited (BSE) provide the details of trades executed on its trading platform to the concerned clients/constituents through SMS and/or e-mail alerts.

2. I/We hereby confirm that I/we wish to receive the trade alerts through (tick whichever is applicable):

a) SMS alerts

b) E-Mail alerts

3. The alerts should be sent:

I. On my registered mobile number / email id as per your records, or

II. You are requested to update the mobile number/email id mentioned below in your records and for the purpose of trade alerts:

a) Mobile No. :

b) E-mail address :

I/ We hereby agree to the terms and conditions specified by the SEBI vide circular no. CIR/MIRSD/15/2011 dated August 2, 2011 and NSE & BSE vide circular no. NSE/INVG/19135 dated October 14, 2011 and 20111118-19 dated 18th November 2011 respectively and circulars/ clarifications issued by SEBI/ exchanges from time to time in this regard. I/We am/are aware that the recipient of SMS/Email alerts on the above mobile number and/or email address can be stopped only on my/our written request.

Thanking you

Yours faithfully,

Name of the Client :



Signature of the Client :

Definitions :

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability :

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not

intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts :

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as



.....
Sole/First Holder Signature



.....
Second Holder Signature



.....
Third Holder Signature

there is no reverse communication between the service provider and the depository.

7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees :

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer :

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity :

The Depository shall not be liable for any breach of confidentiality

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments :

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction :

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

DP	D	1	2	0	7	8	7	0	0	Client	D									
First Holder's Name : _____																				
Second Holder's Name : _____																				
Third Holder's Name : _____																				
Mobile No. on which messages are to be sent										+	9	1								
(Please write only the mobile number without prefixing country code or zero)																				
The Mobile Number is registered in the name of : _____																				
E-mail Id: _____																				
(Please write only ONE valid email Id on which communication; if any, is to be sent)																				
Sole/First Holder Signature						Second Holder Signature						Third Holder Signature								
IN CASE OF JOINT HOLDERS, ALL JOINT HOLDERS MUST SIGN.																				
* Please do not use correction fluid, all cuttings must be attested by all the joint holder(s).																				
Place:.....										Date:.....										



Mindex Capital Market Private Limited

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