PART - I **KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals)**

No.153/2, M.R.B. Arcade, Bagalur Main Road, Dwaraka Nagar, Yelahanka, Bangalore – 560063. Karnataka.

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Part-(A) IDENTITY DETAILS

PLEASE FILL THIS FORM IN ENGLISH AND IN BLOCK LETTERS

Prefix ☐ Mr. ☐ Mrs. ☐ Others ☐☐☐☐

Applicant name (as per ID proof) FIRST NAME MIDDLE NAME LAST NAME

Father/Spouse name

Mothers Name/Mothers Maiden Name

Gender ☐ Male ☐ Female Marital status ☐ Single ☐ Married

Date of birth DDMMYYYY

PAN No.(Mandatory for demat/ISA) **Evidence/Documents Provided in case of PAN exemption** _____

Aadhaar No., if any

STATUS ☐ Resident Individual ☐ Non Resident ☐ Foreign National

NATIONALITY ☐ Indian ☐ Other,please specify _____

Specify the proof of identity submitted ☐ PAN ☐ Other Proof **Valid Till** DDMMYY

(Signature across the photograph)

Please affix your recent passport size photograph

S1 Signature of Client

Need Signature On The Photograph

Part-(B) ADDRESS AND CONTACT DETAILS

Below mentioned address is my ☐ Present Residence Address ☐ Office Address

Mandatory : Please attach Self Attested proof of below address

Local/Residence /Correspondence Address

Landmark (Mandatory)

City/Town/Village PIN (Mandatory)

State Yrs at Current City YYMM Residence YYMM

Country ☐ India ☐ Other

Specify the proof of address submitted for residence/correspondence address **Valid till** DDMMYY

Contact details Country Code STD/Area code Number Extn.

Tel.(off) – – –

Tel.(Res) – – Country code Number

Fax – – Mobile –

E-mail ID (Mandatory) IN CAPITAL LETTERS ONLY

☐ **Please tick if permanent address is the same as above address**

Permanent Address Mandatory to be filled if different from above

Landmark (Mandatory) Mandatory to be filled if different from above

City/Town/Village **PIN (Mandatory)**

State

Country ☐ India ☐ Other

Tel.(Res) 91 – STD NUMBER Mobile No. 91

Part-(C) TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA

ADDITIONAL DETAILS REQUIRED*(Mandatory only if section C ticked)

ISO 3166 Country Code of Jurisdiction of Residence* Country Name _____

Tax Identification Number or equivalent (if issued by jurisdiction)*

Place / City of Birth* ISO 3166 Country Code of Birth* Country Name _____

Part-(D) OCCUPATION (Please tick any one and give brief details):

☐ Private Sector service ☐ Public Sector Service ☐ Government Service ☐ Business ☐ Retired ☐ Professional ☐ Agriculturist ☐ Housewife ☐ Student ☐ Others(specify) _____

DECLARATION: I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and i undertake to inform you any changes there in,immediately.In case any of the above information is found to be false or untrue or misleading or misrepresenting ,i am aware that I may be held liable for it.

#I hereby consent to receive the following from central KYC Registry through SMS/Email.

FOR OFFICIAL USE

(Originals verified) and Self-Attested Document copies received

In-Person-Verification(IPV) details:

Name of the Person doing IPV _____

Signature of the person doing IPV _____

Designation & Emp.code _____

Name and Signature of Authorised Signatory _____

Seal/Stamp of Alice Blue Securities (P) Ltd

DDMMYYYY

Alice Blue Financial services (P) Ltd

Alice Blue Financial services

S2 Signature of Client

DDMMYYYY Place _____

Note:

* If customer provides the KRA registered letter the documents for KYC shall not be taken from the customer.
* The KYC form shall be filled for all the holders of the account.

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PART - II **APPLICATION FOR OPENING DEMAT ACCOUNT (For Individuals)**

No.153/2, M.R.B. Arcade, Bagalur Main Road, Dwaraka Nagar, Yelahanka, Bangalore – 560063. Karnataka.

FOREIGN ACCOUNT TAX COMPLIANCE ACT DETAILS (FATCA)

☐ Please confirm if indicia other than india (in case of NRI ,please fill the details)

☐ Please tick in case not applicable

	Country of birth	TAX Reference Number
1st Holder		
2nd Holder		
3rd Holder		
Guardian		

	Are you tax resident of any other country other than india			Are you a Green Card Holder		In Case of multiple Citizenship/Nationality(please mention country names below)	
1st Holder	☐ Yes of US	☐ Yes of_____	☐ No	☐ Yes	☐ No	Country 1 : _____	Country 2 : _____
2nd Holder	☐ Yes of US	☐ Yes of_____	☐ No	☐ Yes	☐ No	Country 1 : _____	Country 2 : _____
3rd Holder	☐ Yes of US	☐ Yes of_____	☐ No	☐ Yes	☐ No	Country 1 : _____	Country 2 : _____
Guardian	☐ Yes of US	☐ Yes of_____	☐ No	☐ Yes	☐ No	Country 1 : _____	Country 2 : _____

Declaration

*I am the beneficial owner (or am authorized to sign for the beneficial owner) of all the income to which this form relates

*I hereby confirm that i have read and understood the below-mentioned instructions. I also confirm that the information provided above is true and accurate .

FINANCIAL DETAILS (Please Specify)

FIRST HOLDERS DETAILS

*Gross annual income

☐ Below Rs.1 lac ☐ Rs.1 to 5 lac ☐ Rs. 5 to 10 lac

☐ Rs. 10 to 25 lac ☐ More than Rs. 25 lac

(income range per annum) OR Net worth

As on date D D M M Y Y Y Y — Net worth should not be older than one year

Occupation details(please tick any one below and give brief details)

☐ Public Sector ☐ Private Sector ☐ Government services ☐ Business

☐ Professional ☐ Agriculturist ☐ Retired ☐ House wife

☐ Student ☐ Others (please specify) _____

Brief Details _____

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

Second HOLDERS DETAILS

*Gross annual income

☐ Below Rs.1 lac ☐ Rs.1 to 5 lac ☐ Rs. 5 to 10 lac

☐ Rs. 10 to 25 lac ☐ More than Rs. 25 lac

(income range per annum) OR Net worth

As on date D D M M Y Y Y Y — Net worth should not be older than one year

☐ Public Sector ☐ Private Sector ☐ Government services ☐ Business

☐ Professional ☐ Agriculturist ☐ Retired ☐ House wife

☐ Student ☐ Others (please specify) _____

Brief Details _____

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

Third HOLDERS DETAILS

*Gross annual income

☐ Below Rs.1 lac ☐ Rs.1 to 5 lac ☐ Rs. 5 to 10 lac

☐ Rs. 10 to 25 lac ☐ More than Rs. 25 lac

(income range per annum) OR Net worth

As on date D D M M Y Y Y Y — Net worth should not be older than one year

☐ Public Sector ☐ Private Sector ☐ Government services ☐ Business

☐ Professional ☐ Agriculturist ☐ Retired ☐ House wife

☐ Student ☐ Others (please specify) _____

Brief Details _____

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

ACKNOWLEDGEMENT/CONSENT FOR ADDITIONAL RIGHTS & OBLIGATIONS - INDIVIDUAL CUSTOMER

*I acknowledge and declare that i have received,read,understood and agree to the content of :

1. Rights and Obligations of beneficial owner and Depository participant as prescribed by SEBI and Depositories;
2. Demat Standard tariff sheet 3. Financial Details 4. FATCA Declaration

(Signatures of all the holders are required)

1st Holders Name :
Date : Place: — (Signature of 1st Holder)

2nd Holders Name :
Date : Place: — (Signature of 2nd Holder)

3rd Holders Name :
Date : Place: — (Signature of 3rd Holder)

Detaiis under FATCA/Foreign Tax Laws : Towards compliance with tax information sharing laws,such as FATCA, We would be required to seek additional personal tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency,please contact your tax advisor. should there be any change in any information provided by you, please ensure you advise us promptly,i.e., within 30 days. Towards compliance with such laws,we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from account or any proceeds in relation thereto. As may be required or overseas regulators/tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

If you are a US citizen or resident or green card holder, please include United states in the foreign country information field along with your US Tax Identification Number .Foreign Account Tax compliance provisions (commonly known as FATCA) are contained in the US Hire Act2010.

Please note that you may receive more than one request for information if you have multiple relationships with different members of the Alice Blue Securities(P) Ltd Group. Therefore, it is important that you respond to our request , even if you believe you have already supplied any previously requested information.

Debit Authorisation: I/we hereby authorize the trading member to debit all types of trading charges/commission/fees payable by me / us to the said Accounts. I/we undertake that sufficient balances shall be maintained by me/us in the said accounts to facilitate the debiting of charges. The failure on part of me/us to maintain sufficient balance in the said account shall not in any way impair the right of the trading member to debit the Interest charges. I/we hereby future authorise the trading member to charge 18% Per Annum on debit balance in the said accounts due to the debiting of service charges, and/or recover the charges from any other account maintained by me/us withAliceBlue Financial services (P) Ltd. I we specifically agree and confirm that any matter or issue arising hereunder shall be governed by and construed exclusively in accprdance with the Indian laws and shall be governed to the jurisdiction of the courts of Mumbai in india. I/we confirm the trading member shall have a lien and right of set off on all monies belonging to me/us standing to my/our credit in any account whatsoever with the trading member and authorize the trading member without reference to me/us to appropriate the same towards satisfaction of service charges or any charges due and payable by me/us.

Email Statement : I/we agree to discontinue the physical statements if electronic mode is opted. I/we understand that email statements are for my/our convenience.AliceBlue Financial services (P) Ltd. shall not be liable or responsible for any breach of secrecy because the statements are being sent to the email ID. I/we shall verify the authenticity of the emails I/we receive. I/we shall not hold the trading member responsible for any statement received from frauds/imposters. I/we shall not hold the trading member liable if any problem arises with my/our computer network because of me/us receiving statements from the trading member. I/we are authorised by the other holder to receive the statements to email address. I/we shall inform the trading member in writing if there is any change in the email address. The trading member shall not be responsible if I/we do not receive statement due to incorrect email address and technical reasons. I/we confirm to have read and understood the terms & conditions (a copy of which i am in possession of) pertaining to my account . I/we understand and agree that the email statement will only be sent to the first holder in the account . I/we am/are aware that I/we will not receive the transaction statements in paper form. I/we will take all the necessary steps to ensure confidentiality and secrecy of the login name and password to the internet/email account. I/we am/are aware that the transaction statement may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised.