

### C. Past actions

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/ constituent or its partners, promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years \_\_\_\_\_

### D. Depository account(s) details

Depository Name: NSDL  CDSL

|                             |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |                |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|-----------------------------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|----------------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Depository Participant Name |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |                |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Beneficiary Name            |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |                |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Depository ID               |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | Beneficiary ID |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

### E. Dealings through other stock brokers

Whether dealing with any other stock broker/sub-broker (in case dealing with multiple stock brokers/sub-brokers, provide details of all)

|  |  |  |  |  |  |                    |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--------------------|--|--|--|--|--|--|--|--|--|
| Name of Stock Broker                                       |  |  |  |  |  | Sub Broker, if any |  |  |  |  |  |  |  |  |  |
| Client Code  |  |  |  |  |  | Exchange(s)        |  |  |  |  |  |  |  |  |  |
| Website  |  |  |  |  |  |                    |  |  |  |  |  |  |  |  |  |
| Details of disputes/dues pending from/to such stock broker |  |  |  |  |  |                    |  |  |  |  |  |  |  |  |  |

### F. Introducer details (optional)

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |                      |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|----------------------|--|--|--|--|--|
| Name of the Introducer   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |                      |  |  |  |  |  |
| Status of the Introducer - Sub-broker/Remisier/Authorized Person/Existing Client |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |                      |  |  |  |  |  |
| Address of the Introducer  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |                      |  |  |  |  |  |
| Phone Number   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | Signature (optional) |  |  |  |  |  |









### G. Trading preferences / experience

No Prior Experience

|                   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |                      |  |  |  |  |  |  |  |  |  |  |  |  |  |  |   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|-------------------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|----------------------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|---|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Years in Equities |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | Years in Derivatives |  |  |  |  |  |  |  |  |  |  |  |  |  |  | Years in other Investment Related Field |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|-------------------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|----------------------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|---|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|

**Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.**

\*If, in future, the client wants to trade on any new segment, a separate authorization/letter should be taken from the client by the broker.

|     | Cash  | F&O   | Currency derivatives  | Commodity derivatives   |
|-----|---|---|---|---|
| NSE |  F3 (a) Client Signature |  F3 (b) Client Signature |  F3 (c) Client Signature |  F3 (d) Client Signature |
| BSE |  F3 (e) Client Signature |  F3 (f) Client Signature |  F3 (g) Client Signature |  F3 (h) Client Signature |

### H. Additional details

(I) Whether you wish to receive (a) Physical contract note  (b) Electronic Contract Note (ECN)

If ECN Specify your Email ID \_\_\_\_\_

(II) Whether you wish to avail the facility of internet trading/wireless technology/mobile trading Yes  No

### I. Nomination details (Please tick the appropriate options)

I / We do wish to nominate (Fill Annexure 1A)

I / We do not wish to nominate