



ICDS Securities Limited

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N-115, North Block (rear Wing)
Manipal Centre, Dickenson Road,
Bangalore-560042
Ph:080-40197800
Email Id: info@icdssecurities.com
Website: www.icdssecurities.com

Registered Office:
Syndicate House, Upendra Nagar,
Manipal-576104
Ph:0820-2570145

Compliance Officer and Director:
D Sreepathi.
Ph: 080 40197805.
Email: dsreepathi@icdssecurities.com
Investor Grievance Id:
inv_grievances@icdssecurities.com

Email Id: manipal@icdssecurities.com

SEBI Reg No.	Date Of Reg	Exchange /Segment	Investor Services email id & ContactNo.
INB230763732	12-01-1996	NSE-Cash	NSE: ignse@nse.co.in ,022-26598190
INF230763732	13-05-2008	NSE-F&O	BSE: is@bseindia.com , 022 2272 8097
INE230763732	26-08-2008	NSE-CDS	MCXSX: investorcomplaints@mcx-sx.com
INB010763739	24-03-2008	BSE-Cash	(022) 6731 8933 / 9000
INF010763739	24-11-2011	BSE-F&O	USE : investorcomplaints@useindia.com ,
INB260763736	20-12-2012	MCX-SX-Cash	022-42444904/42444932
INF260763736	20-12-2012	MCX-SX-F&O	
INE260763732	29-09-2008	MCXSX-CDS	
INE270763732	10-05-2010	USE-CDS	

For any grievance/dispute please contact stock broker at the above address, email id and Phone No. In case not satisfied with the response, please contact the concerned exchange(s) at respective investor grievance, Phone No. given above.

KNOW YOUR CLIENT (KYC) APPLICATION FORM INDEX

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S. No.	Name of the Document	Brief Significance of the Document	Pg Nos.
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	A-1 A-3-5
2	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	B-1-4
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	B-5-7
4	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	B-8-9
5	Policies and Procedures	This document contains policies and procedures to be followed by the Broker relating to the various operational issues of day to day business activities. The clients are requested to go through it carefully and keep it in mind while dealing through us. Any changes in this document shall be intimated to the client through the periodic communications. The clients may any time request for the updated copies of this document or refer to it at website.	B-14-17
6	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	A-6
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
1	Write-up on PMLA	(For Information Only) Brief Write-up on the provisions of prevention of money laundering Act 2002 (PMLA) which client needs to know.	B-10
2	Check List	Instructions for filling KYC form.	B-11-13
3	Authorization for Running Account	For the operational convenience, if a client is dealing frequently and wishes to avoid exchange of funds and securities for every exchange/segment separately and on a daily/due date basis, this document may be signed by the client authoring broker to keep the account as running account across all exchange/segment.	A-7

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



Application No. :

Please fill in ENGLISH and in BLOCK LETTERS

A. Identity Details (please see guidelines overleaf)

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

Name

Father's/Spouse Name

2. Gender Male Female B. Marital status Single Married C. Date of Birth

3. Nationality Indian Other (Please specify) _____

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

5. PAN

 Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any: _____

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

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

PHOTOGRAPH

Please affix
the recent passport
size photograph and
sign across it

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village		Country	Pin Code
State			

2. Contact Details

Tel. (Off.)	(ISD)	(STD)	Tel. (Res.)	(ISD)	(STD)
Mobile	(ISD)	(STD)	Fax	(ISD)	(STD)
E-Mail Id.					

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify) _____

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

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

City / Town / Village		Country	Pin Code
State			

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify) _____

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

6. Any other information: _____

DECLARATION

SIGNATURE OF APPLICANT

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

Place: _____

Date: _____

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FOR OFFICE USE ONLY

IPV Done on

AMC/Intermediary name OR code _____

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

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

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

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale

Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/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, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

**MANDATORY
OTHER DETAILS**

Gross Annual Income details (please specify) : Income Range per annum					
<input type="radio"/> Upto Rs. 1,00,000/-		<input type="radio"/> Rs. 1,00,000/-to Rs. 5,00,000/-			
<input type="radio"/> Rs. 5,00,000/-to Rs. 10,00,000/-		<input type="radio"/> Rs. 10,00,000/-to Rs. 25,00,000/-			
<input type="radio"/> Above Rs. 25,00,000/-					
Net worth as on Date : _____			Rs. _____ (Net worth should not be older than 1 year)		
Number of years of Investment/Trading Experience:					
Stock Portfolio	<input type="radio"/> NIL	<input type="radio"/> < 5	<input type="radio"/> 5-20	<input type="radio"/> 20-50	<input type="radio"/> >50
Occupation (Please tick any one and give brief details)	<input type="radio"/> Private Sector	<input type="radio"/> Public Sector	<input type="radio"/> Govt. Service	<input type="radio"/> Business/Self Employed	<input type="radio"/> Student
	<input type="radio"/> Professional	<input type="radio"/> Agriculturist	<input type="radio"/> Retired	<input type="radio"/> Housewife	<input type="radio"/> Others (Specify)

Please tick, if applicable	<input type="radio"/> Politically Exposed Person (PEP)		<input type="radio"/> Related to a Politically Exposed Person (PEP)		
Educational Qualification	<input type="radio"/> Under Graduate		<input type="radio"/> Graduate		<input type="radio"/> Post Graduate
	<input type="radio"/> Professional _____				
Any other information					
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:					

MANDATORY

Bank Account Details	Account 1		Account 2	
Account Type				
Account No				
Bank Name				
Branch Address				
MICR No.				
IFC Code				
Please provide Cancelled Cheque leaf for MICR & IFSC Code				
Depository Account Details	Account 1		Account 2	
Beneficiary A/c No.				
DP Id No.				
DepositoryParticipantName				
Depository Name	<input type="radio"/> NSDL	<input type="radio"/> CDSL	<input type="radio"/> NSDL	<input type="radio"/> CDSL
TRADING PREFERENCES				
*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.				
Ex Segment	Cash	Derivatives	Currency Derivatives	Mutual Funds
NSE				
BSE				
MCX SX				
# If, in future, the client wants to trade on any new segment / new exchange, separate authorization / letter should be taken from the client by the stock broker				
ADDITIONAL DETAILS				
Whether you wish to receive Electronic Contract Note (ECN)(please specify)			<input type="radio"/> Yes	<input type="radio"/> No
Specify your Email id, if applicable:				
Whether you wish to avail of the facility of internet trading (please specify)			<input type="radio"/> Yes	<input type="radio"/> No
DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS				
Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)				
Name of stock broker:.....Name of Sub-Broker, if any:.....				
Client Code:Exchange:				
Details of disputes/dues pending from/to such stock broker/sub- broker:				
.....				

INTRODUCER DETAILS (Optional)			
Name			Signature
Add. / Tel.			
Status of the Introducer	Sub Broker/Remisier/ Authorized Person/Existing Client/Other specify _____		
NOMINATION DETAILS (FOR INDIVIDUAL ONLY)			
<input type="radio"/> I / We wish to nominate		<input type="radio"/> I / We do not wish to nominate	
Name of Nominee			Relation with Nominee
Address			PAN No.
			Tel. No.
If Nominee is a minor, details of Guardian		Date of Birth	
Name of Guardian			
Address & Tel No.			Sign of Guardian
* Witnesses (Only applicable in case the account holder has made nomination)			
Name		Name	
Address		Address	
Signature		Signature	
DECLARATION			
<p>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.</p> <p>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.</p> <p>3. I/We further confirm having read and understood the contents of the 'Rights 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, if any.</p>			
Name			Signature
Place		Date	
FOR OFFICE USE ONLY			
UCC Code allotted to the Client:			
Documents verified with Originals / In person Verification done by		Client Interviewed / Approved by	
Name			
Signature			
Designation			
Employee Code			
Date			
<p>I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non- mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.</p>			
Date _____ Signature of the Authorized Signatory Seal/Stamp of the stock broker			

TARRIF SHEET

	CASH SEGMENT			
	Trading/Speculation		Delivery	
	Percentage (%)	Minimum (Rs.)	Percentage (%)	Minimum (Rs.)
Rates				

	EQUITY FUTURES & OPTIONS			
	Futures		Options	
	Percentage (%)	Minimum (Rs.)	Percentage (%)	Minimum (Rs.) per lot
Rates				

	CURRENCY FUTURES & OPTIONS			
	Futures		Options	
	Percentage (%)	Minimum (Rs.)	Percentage (%)	Minimum (Rs.) per lot
Rates				

The above rates are exclusive of transaction charge, Stamp Duty, Securities Transaction Tax and Service Tax and SEBI Turnover Fee which will be charged extra at the rate prevailing from time to time.

The General rates as mentioned here shall be applied unless the special rates as may be agreed by the sub-broker/Authorized Person/Introducer and client and the same are mentioned here.

Client's Signature

Signature of Broker

<p>KYC-PART-B Received.</p> <p>_____ Client Signature</p>
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	Name	Signature	Date
Entered By			
Verified By			

AUTHORISATION FOR RUNNING ACCOUNT

To,

**ICDS Securities Limited
N115 Manipal Center
Dickenson Road
Bangalore 560042**

Dear Sir,

1. I/We am/are dealing with you in my/our accounts in the exchange/segments as specified in KYC documents. I/We have put my/our signatures hereunder to give my/our consent to treat my/our accounts with you as running account for the purpose of operational convenience.
2. I/we understand that this authorization can be revoked by me/us anytime by giving a written intimation to this effect at the registered/corporate office of the broker. However, the revocation shall be effective prospectively from the date of its receipt and shall not effect the rights of the broker to take necessary actions under this authorization with respect to the outstanding obligations of already executed transaction till the date of receipt of the revocation intimation.
3. Only, in case of corporate actions (Bonus, Split, Merger, Rights, and Amalgamation) you are authorized to transfer my/our shares to my Demat account.
4. I/We authorize you to ensure pay-in of our obligations to stock exchange as and when required. Further authorize you to utilize our shares/excess funds available for margins or deposit with the stock exchange as and when required and duly authorize by us.
5. Further we authorize you to settle our accounts for funds and/or securities held by you under this authorization, once in a month /quarter.* (*- Default Option)

SETTLEMENT TYPE	SIGNATURE
Monthly	
*Quarterly	
Funds	
Securities	
*Both Funds and Securities	

You will be holding our shares without prejudice at our risk and cost.

Signature of Client

Date: