

TRADING ACCOUNT OPENING FORM

Documents Required

Pan Card
Address Proof
Cancelled Cheque
Income Proof

Instructions / checklist 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 directors and persons authorized 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. 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/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 (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.
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 up to 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.

F. 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.

G. 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.

H. Demat master or recent holding statement issued by DP bearing name of the client.

For Individuals:

- a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- b. 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:

- a. Form need to be initialized by all the authorized signatories.
- b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/others & their specimen signatures.

S. No.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/checklist. B. Document captures the additional information about the Constituent relevant to trading account and an instruction /check list.	3 4 – 6
2	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	7
3	Rights and Obligations	Document stating the Rights & Obligations of stock broker /trading member and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Annexure A
4	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	Annexure B
5	Guidance note	Document detailing do's and dont's for trading on exchange for education of investors	Annexure C
6	Policies and Procedures	Document describing significant policies and procedures of Stock Broker.	Annexure D
VOLUNTARY AND OPTIONAL DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
7	Undertaking	Contains voluntary undertakings by the client with respect to Genuine's internal operations during the course of the relationship with Genuine.	8 – 9
8	Running Account Authorization and Mobile Declaration	Letter of Authorization for maintaining a Running Account with Genuine and Client consent letter for receiving SMS from Genuine	10
9	Client Defaulter Declaration and Client Acknowledgment	Client declaration stating that he is not a defaulter and Client acknowledgment that he has read all the rules & regulations.	11
10	Nomination Details	Collects details of any nomination made for the account	Annexure 1 A
Name of the Trading Member		GENUINE STOCK BROKERS PRIVATE LIMITED (herein after referred "GENUINE")	
Name of the Clearing Member		GENUINE STOCK BROKERS PRIVATE LIMITED	
Cash , FO & CD Segment		NSE Cash, F&O and CD Segment & BSE Cash & F&O INZ000243831	
Membership /Clearing No		NSE: Cash , F&O and CD Segment : 10477 BSE: Cash & F&O Segment: 3184 NCL: M51431 (Clearing Membership)	
Vernacular Language Link of Rights & Obligation		NSE: https://www.nseindia.com/trade/members-client-registration-documents BSE: https://www.bseindia.com/static/investors/client_regislanguages.aspx?expandable=3	
SEBI Registration Number: GENUINE STOCK BROKERS PRIVATE LIMITED Single SEBI Registration No: INZ000243831			
Genuine's Registered Office: B-601 Gopal Palace Opp. Ocean Park Nehru Nagar, Ahmedabad 380015, Gujarat. Phone No. 079-26769700, Fax No. 079-40308992 Website: www.guinnessstockbrokers.com			
Correspondence Address : Same as above			
Compliance Officer & CEO: Mr. Nikhil Agarwal; Phone No. 079-26769700; E-Mail ID: genuine1996@gmail.com For any grievance please contact Genuine at the above address or email gsb96@yahoo.co.in & Phone no. +91-079-26769700.			

In case not satisfied with the response, please contact the concerned exchange at:

1.NSE: ignse@nse.co.in or contact at 1800-266-0050 | 2. BSE: is@bseindia.com or contact at 022-22728097

Know Your Client (KYC) Application Form - for Individuals

Please fill this form in English and BLOCK Letters

(Please tick the box on the left margin of the appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding window)

For office use only (To be filled by the financial institution)			
Application Type*	<input type="checkbox"/> New	<input type="checkbox"/> Update	KYC Number <input type="text"/>
Account Type*	<input type="checkbox"/> Normal	<input type="checkbox"/> Simplified (for low risk customers)	<input type="checkbox"/> Small

A. Identity details

<input type="checkbox"/>	1. Name (Same as ID Proof)	
	1a. Maiden Name (If any)	
<input type="checkbox"/>	2. Father's/Spouse's Name	
	2a. Mother's Name	

Photograph
Please affix your recent passport size photograph and sign across it

 F1

3a. Gender Male Female Transgender 3b. Marital Status Single Married Other 3c. DOB

4a. Citizenship Indian Other _____ (ISO 3166 Country Code)

4b. Residential Status Resident Individual Non Resident Indian Person of Indian Origin Foreign National

Tick if applicable Residence for tax purposes in jurisdiction(s) outside India

ISO 3166 Country Code of Jurisdiction of residence Place of birth _____

Tax Identification Number or Equivalent ISO3166 Country Code of Birth

5a. PAN

5b. Unique Identification Number (UID) / AADHAR

6. Proof of Identity Submitted Pan Card Other (Please Specify) _____

B. Address details

1. Contact Details

Telephone (Office)	<input type="text"/>	Mobile No	<input type="text"/>
Telephone (Residence)	<input type="text"/>	Email ID	<input type="text"/>

2. Residence/Correspondence Address Address Type: Residential Business Unspecified

Address			
City/Town	District	Pin Code	<input type="text"/>
State/U.T Code	Country/ISO Code	<input type="text"/>	<input type="text"/>
Specify the Proof of Address Submitted for Residence / Correspondence Address			

C. DECLARATION

I/We declare that the details furnished above are true and correct to the best of my knowledge and undertake all liabilities w.r.t any incorrect information, I also confirm to inform Genuine w.r.t any changes in the future. I/We are also aware that for Aadhaar OVD based KYC, my KYC shall be validated against my Aadhaar. I/We hereby consent to sharing my/our masked Aadhaar with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I/We or Genuine have a business relationship for KYC purposes only. I/We hereby consent to receiving information from CVL KRA & C-KYC Registry through SMS/Email on the above registered number/Email ID.

F2 Client Signature

Date :

FOR OFFICE USE ONLY

In Person Verification (IPV) Details:

Name of the Person who has done the IPV: _____

Designation: _____ Employee ID: _____

Name of the Organization: GENUINE STOCK BROKERS PRIVATE LIMITED

Date of the IPV: Signature of the Person who has done the IPV

Seal/Stamp of the Intermediary

Originals Verified and Self-Attested Document Copies Received

Date

Signature of the Authorized Signatory

3. Permanent Address

Address										
City/Town	District				Pin Code					
State/U.T Code	Country/ISO Code									

4. Address in the jurisdiction details where applicant is resident outside India for tax purpose (if applicable)

Address										
City/Town	District				Pin Code					
State/U.T Code	Country/ISO Code									

D. Details of related person (In case of additional related persons, please fill below details)

Addition of Related Person Deletion of Related Person

KYC Number of Related Person (if available)

Related Person Type Guardian of Minor Assignee Authorized Representative

Name

(If KYC number & name are provided, below details are optional)

Proof Of Identity Of Related Person

Identity Proof Submitted	Number																		
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Expiry Date :

Others (any document notified by the Central Govt.)	Identification No																		
Simplified Measures Account-Document Type Code	Identification No																		

Trading account related details

A. Bank account details

Account Type: Savings Current Others | In case of NRI Account: NRE NRO

Bank Name																																								
Branch Address																																								
Account Number																																								
MICR Number																					IFSC Code																			

B. Other details

Gross Annual Income Details (please specify): Income Range per annum

Below Rs 1 Lakh 1-5 Lakh 5-10 Lakh 10-25 Lakh 25 Lacs to 1 Cr >1Cr

Or Net-worth as on _____ date _____ (Net worth should not be older than 1year)

Occupation

Private Sector Public Sector Government Service Business Professional Agriculturist Retired

Housewife Student Self Employed Others (please specify) _____

Mode in which you wish to receive the RDD, Rights & Obligations, and Guidance Note: Physical Electronic

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

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	
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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.

Exchanges	BSE & NSE				
Segments	Cash/Mutual funds	F&O	Currency	Debt	Commodity derivatives
	<input type="checkbox"/> F3 (a)	<input type="checkbox"/> F3 (b)	<input type="checkbox"/> F3 (c)	<input checked="" type="checkbox"/> F3 (d) XXXX	<input checked="" type="checkbox"/> F3 (e) XXXX

If you do not wish to trade in any segment/mutual fund, please mention here _____

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 (Fill Annexure 1B)

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.
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.

Client Name _____

Place _____

Date :

D	D	M	M	Y	Y	Y	Y
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 F4	Client Signature
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GENLINE
STOCK BROKERS PVT LTD



Tariff sheet

To

Genuine Stock Brokers Private Limited

B-601, Gopal Palace, Opp. Ocean Park, Nehru Nagar, Ahmedabad – 380015, Gujarat.

Charges for Trading Services

I/ We agree to pay the charges as per following charges structure for our Trading account with Genuine effective _____

Client ID: _____

Charge Head	Brokerage / Charges
Equity Intraday	
Equity Delivery	
Futures	
Options	
Currency Futures	
Currency Options	

Schedule of Charges:

1. Exchange transaction charges | 2. Clearing charges | 3. Securities Transaction Tax | 4. Goods & Services Tax, if Applicable | 5. SEBI Turnover fees | 6. Stamp Duty : State-wise stamp duty as applicable will be levied

Note : Brokerage will not exceed the rates specified by SEBI and the Exchanges
All Statutory and Regulatory charges will be levied as per exchange, SEBI, and depository circulars published from time to time.
Brokerage is also charged on expired, exercised, and assigned Options contracts

Charges for other value added services will be applicable at the time of availing such service, upon your consent.



Client Signature

For office use only

UCC Code allotted to the Client _____

	Documents verified with originals	Client interviewed by	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of employee			
Date			
Signature			

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.

Signature of the Authorised Signatory

Date :

Seal/Stamp of the stock broker

Sub: Voluntary Undertaking/Authorisation

With respect to member-constituent relationship and mandatory and voluntary (optional) documents executed between us, I/we do hereby authorize Genuine to do the following:

1. ORDER PLACEMENT INSTRUCTIONS

I understand that you require written instructions from me for placing/modifying/cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting/calling/emailing the call centre/branch specified for the said purpose by Genuine in case of breakdown of internet connectivity or other similar reasons. I hereby request you to kindly accept my verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other approved modes. I/we also agree that non-receipt of bounced mail notification by you shall amount to delivery of contract note at my/our email ID. I indemnify Genuine and its employees against all trade related losses, damages, actions which you may suffer or face, as a consequence carrying out my instructions for orders placed verbally

2 . ERRORS AND OMISSIONS

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances Genuine shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold Genuine responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by Genuine.

3 . NO MARKET MANIPULATION

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, Genuine has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

4 . NOT TO ACT AS UNREGISTERED SUB BROKER

I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients In case I wish to deal for other clients also, I undertake to apply to SEBI through Genuine to obtain a sub broker registration. In case Genuine perceives that I am acting as an unregistered sub broker, Genuine has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to Genuine without the requirement of any notice from Genuine. Further, Genuine has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify Genuine from any loss/ damage/claim arising out of such activity.

5 . NOT DEBARRED BY ANY REGULATOR

I confirm and declare that there is no bar on me imposed by any Exchange or any regulatory and/or statutory authority to deal in securities directly or indirectly. I agree to inform Genuine, in writing, of any regulatory action taken by any Exchange or regulatory/ statutory authority on me in future. In case I fail to inform the same and Genuine on its own comes to know of such action, Genuine has the right to suspend/close my trading account and refuse to deal with me. Also, Genuine can at its sole discretion, close all the open positions and liquidate collaterals to the extent of trade related debit balances, without any notice to me.

6 . PMLA DECLARATION

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by Genuine officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that; a. I do not have any links with any known unlawful persons/institutions

b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

7 . INDEMNIFICATION hereby indemnify and hold Genuine, its Directors and employees harmless from and against all trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the Genuine directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

INDEMNITY OF JOINT HOLDINGS

I hereby agree to indemnify and hold Genuine harmless from any trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

8. THIRD-PARTY PAYMENTS

Genuine shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along with adequate proof thereof as per proforma prescribed by Genuine. Genuine shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third-party payment has been accepted by Genuine and the credit for the same has been given in the client's ledger, Genuine shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, Genuine reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. Genuine, its Directors and employees shall not be responsible for any consequential damages or losses.

9. NO DEALINGS IN CASH

Genuine as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/ Sub-Broker/ Remisier/Employee/Authorised Person of Genuine.

10. DISCLOSURE OF PROPRIETARY TRADING BY GENUINE

Pursuant to SEBI Circular Number SEBI/MRD/SEC/Cir-4 2 /2 0 0 3 dated November 1 9 ,2, Genuine discloses to its clients about its policies on proprietary trades. Genuine does proprietary trades in the cash and derivatives segment at NSE & BSE.

11. DELIVERIES

The client shall ensure that the shares are properly transferred to the designated demat account of Genuine, for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchanges/Genuine. In case the client fails to transfer the shares on time to Genuine, Genuine shall not be responsible for any loss/damages arising out of such delayed transfers.

12. SQUARING OFF OF POSITIONS & SALE /LIQUIDATION OF COLLATERAL MARGINS (to the extent of Settlement Margin obligation)

The client shall settle the transactions, within the Exchange specified settlement time, by making the requisite payment of funds and/or delivery of the shares. In case the client fails to settle the transactions within the settlement date, then Genuine has the right to square off the open and/or unpaid positions, at an appropriate time, as it deems fit, with notice to the client. The client shall not have any right or say to decide on the timing of closure of the open positions that needs to be closed. Genuine, its Directors and Employees shall not be responsible for any trade related loss or damages arising out of such square offs. All such square off transactions shall have implied consent and authorization of the client in favour of Genuine.

After such square off of open positions by Genuine, as mentioned in above clauses, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balance, Genuine shall have the right to liquidate the shares and other securities of the client (kept as collateral/margin) to the extent of the debit balance, after due intimation to the client. The client shall not have the right to decide on the timing of liquidation of shares and securities held in collateral/ margin and the shares and securities that needs to be sold or liquidated. Genuine, its Directors and employees shall not be responsible for any trade related loss or damages arising out of such selling.

 F6 Client Signature

Running account authorization

Voluntary

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Interest Rate future Segment & in order to facilitate ease of operations and upfront requirement of margin for trade.

I/We authorize you as under:

1. I/We request you to maintain running balance in my 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) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise.
2. I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing Corporation, unless I/We instruct you to transfer the same to my/our account.
3. I/We request you to settle my fund and securities account (choose one option)
 - Once in a calendar Month
 - Once in every calendar Quarter except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt
4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges.
5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably 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.
6. I/We confirm you that I can revoke the above mentioned authority at any time.
7. This running account authorization would continue until it is revoked by me.

Date :

Yours faithfully,

 F7 Client Signature

Mobile declaration

Voluntary

I _____ having PAN _____ do hereby declare that my mobile no. is _____ Further, I authorize GENUINE that the same may be used for giving me any information/ alert/SMS.


I further declare the above mentioned statement is true and correct.

 F8 Client Signature

Client defaulter declaration

Voluntary

I _____ having PAN _____ do hereby declare that I have not been involved in any unlawful activities and I have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchange/ Regulatory bodies, etc. I further declare that the above mentioned declaration/ statement is true and correct.

 **F9** Client Signature

To

Genuine Stock Brokers Private Limited

B-601, Gopal Palace, Opp Ocean Park, Nehru Nagar, Ahmedabad 380015. Gujarat

Sub: Acknowledgement

This is to acknowledge the receipt of following documents. I further state and confirm that I have read and understood all the clauses of aforesaid documents.

Sl. No	Brief significance of the Document
1	Duly Executed Copy of KYC
2	Rights and Obligations
3	Risk Disclosure document (RDD) for Capital, Derivatives, and Currencies Segments
4	Guidance Note - Do's and Dont's for trading on the Exchange(s) for investors
5	Genuine Tariff Sheet
6	Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009
7	General Terms & Conditions governing securities trading and broking services of Genuine
8	Running account authorisation, Mobile declaration & Client defaulter declaration

I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of Genuine

Yours faithfully,

Client Name : _____

 **F10** Client Signature

Date :

Nomination Details - Annexure 1A

Genuine Stock Brokers Private Limited


Date

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.

Name	UCC	Demat ID
-------------	------------	-----------------

Nomination Details

Up to 3 nominations can be made	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
Name of the nominee(s) (Mr./Ms.)			
Share of each nominee <input type="checkbox"/> Distribute equally <small>[If not equally shared, please specify %age]</small>	Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
Relationship With the Applicant (if any)			
Address of nominee(s)			
Mobile/Telephone no. of nominee(s)			
Email ID of nominee(s)			
Proof of identity submitted for nominee(s)			
Fill below details only if the nominee is a minor			
Date of birth			
Name of the guardian			
Address of guardian(s)			
Mobile/Telephone no. of guardian(s)			
Email ID of guardian(s)			
Relationship of guardian with nominee			
Proof of identity submitted			

 F17 First/Sole Holder or Guardian (in case of Minor)

 S6 Second Holder
--

 T6 Third Holder

Note:

- This nomination shall supersede any prior nomination made by the account holder(s), if any.
- The Trading Member / Depository Participant shall provide acknowledgment of the nomination form to the account holder(s).

Genuine Stock Brokers Private Limited
B-601, Gopal Palace, Opp Ocean Park, Nehru Nagar,
Ahmedabad 380015. Gujarat

Date :

Declaration form for opting out of nomination (Annexure 1B)


To,
Genuine Stock Brokers Private Limited
B-601, Gopal Palace, Opp Ocean Park, Nehru Nagar,
Ahmedabad 380015. Gujarat


DP ID

Client ID

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.

 **F17** First/Sole Holder
or Guardian
(in case of Minor)

 **S6** Second Holder

 **T6** Third Holder

From,

To,
Genuine Stock Brokers Private Limited
B-601, Gopal Palace, Opp Ocean Park, Nehru Nagar,
Ahmedabad 380015. Gujarat

Subject: Declaration for Confirmation of Signature

Sir/Madam,

This letter is to confirm that all signatures placed on the account opening forms, and all such other documents towards Genuine or any of its group entities, are done solely by me with complete knowledge of all such terms and clauses contained therein.

I/We, the undersigned, would like to request Genuine or any of its group entities to accept the signed account opening forms and documents, even in case there may be slight variations on a few pages/areas of the document.

I/We, the undersigned, further would like to represent and warrant that in case of any misrepresentation with respect to the signatures placed on the account opening forms or all such documents towards Genuine or any of its group entities by me/us, I/We will indemnify Genuine and its directors/employees/agents for all such actions.

Yours faithfully,
Signature:

Name:

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

Important Instructions:

- A) Fields marked with "*" are mandatory fields.
- B) Tick '✓' wherever applicable.
- C) Please fill the form in English and in BLOCK letters.
- D) Please fill the date in DD-MM-YYYY format.
- E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.
- F) Please read section wise detailed guidelines / instructions at the end.
- G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- H) List of two character ISO 3166 country codes is available at the end.
- I) KYC number of applicant is mandatory for update application.
- J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode



For office use only (To be filled by financial institution)

Application Type* New Update

KYC Number (Mandatory for KYC update request)

Account Type* Normal Minor Aadhaar OTP based E-KYC (in non-face to face mode)

1. PERSONAL DETAILS* (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
PAN*	<input type="text"/>	<input type="checkbox"/> Form 60 furnished		

2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- A- Passport Number
- B-Voter ID Card
- C-Driving Licence
- D-NREGA Job Card
- E-National Population Register Letter
- F-Proof of Possession of Aadhaar
- II E-KYC Authentication
- III Offline verification of Aadhaar



Address

Line 1*

Line 2

Line 3

District* Pin/Post Code* State/U.T Code* City / Town / Village* ISO 3166 Country Code*

3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- A- Passport Number
- B-Voter ID Card
- C- Driving Licence
- D-NREGA Job Card
- E- National Population Register Letter
- F - Proof of Possession of Aadhaar
- II E-KYC Authentication
- III Offline verification of Aadhaar
- IV Deemed Proof of Address - Document Type code
- V Self Declaration

Address

Line 1*

Line 2

Line 3

District* Pin / Post Code* State/U.T Code* City / Town / Village* ISO 3166 Country Code*

4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided) (Please refer instruction C at the end)

Tel. (Off) - Tel. (Res) - Mobile -
Email ID

5. REMARKS (If any)

6. APPLICANT 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 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 aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]
Signature / Thumb Impression of Applicant

Date : -- Place:

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies E-KYC data received from UIDAI Data received from Offline verification Digital KYC Process
 Equivalent e-document Video Based KYC

KYC VERIFICATION CARRIED OUT BY

Date
Emp. Name
Emp. Code
Emp. Designation
Emp. Branch

INSTITUTION DETAILS

Name
Code

[Employee Signature]

[Institution Stamp]

Important Instructions:

- A) Fields marked with "*" are mandatory fields.
 B) Tick '✓' wherever applicable.
 C) Please fill the form in English and in BLOCK letters.
 D) Please fill the date in DD-MM-YYYY format.
 E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated
- F) Please read section wise detailed guidelines / instructions at the end.
 G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 H) List of two character ISO 3166 country codes is available at the end.
 I) KYC number of applicant is mandatory for update application.



For office use only Application Type* New Update Delete
 (To be filled by financial institution) KYC Number (Mandatory for KYC update request)

1. DETAILS OF RELATED PERSON (Please refer instruction D & E at the end)

Addition of Related Person Deletion of Related Person Updation KYC Number of Related Person (if available*)

Related Person Type* Guardian of Minor Assignee Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details are optional)

Maiden Name

Father / Spouse Name

Mother Name

Date of Birth* DD - MM - YY YY

Gender* M- Male F- Female T-Transgender

PAN* Form 60 furnished

2. PROOF OF IDENTITY AND ADDRESS*

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- A- Passport Number
- B-Voter ID Card
- C- Driving Licence
- D-NREGA Job Card
- E- National Population Register Letter
- F - Proof of Possession of Aadhaar
- II E-KYC Authentication
- III Offline verification of Aadhaar

 PHOTO***Address**

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- A- Passport Number
- B-Voter ID Card
- C- Driving Licence
- D-NREGA Job Card
- E- National Population Register Letter
- F - Proof of Possession of Aadhaar
- II E-KYC Authentication
- III Offline verification of Aadhaar
- IV Deemed Proof of Address - Document Type code
- V Self Declaration

Address

Line 1*																					
Line 2																					
Line 3																					
District*						Pin / Post Code*						State / U.T Code*			City / Town / Village*				ISO 3166 Country Code*		

4. CONTACT DETAILS

Tel. (Off)						Tel. (Res)						Mobile					
Email ID																	

5. REMARKS (If any)

6. APPLICANT 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 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 aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : - - Place:

Signature /Thumb Impression of Applicant

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies E-KYC data received from UIDAI Data received from Offline verification Digital KYC Process
 Equivalent e-document Video Based KYC

KYC VERIFICATION CARRIED OUT BY

Date															
Emp. Name															
Emp. Code															
Emp. Designation															
Emp. Branch															

[Employee Signature]

INSTITUTION DETAILS

Name															
Code															

[Institution Stamp]



Important Instructions:

- A) Fields marked with "*" are mandatory fields.
- B) Tick '✓' wherever applicable.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please fill the form in English and in BLOCK letters.
- E) KYC number of applicant is mandatory for update application.
- F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- G) List of two character ISO 3166 country codes is available at the end.
- H) Please read section wise detailed guidelines / instructions at the end.
- I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only Application Type* New Update

(To be filled by financial institution) KYC Number (Mandatory for KYC update request)

1. ENTITY DETAILS* (Please refer instruction **A** at the end)

Name*

Entity Constitution Type* Others (Specify) (Please refer instruction B at the end)

Date of Incorporation / Formation* -- Date of Commencement of Business --

Place of Incorporation / Formation* Country of Incorporation / Formation* TIN or Equivalent Issuing Country

PAN * Form 60 furnished

TIN / GST Registration Number

2. PROOF OF IDENTITY (PoI)* (Please refer instruction **B** at the end)

Officially valid document(s) in respect of person authorised to transact

Certificate of Incorporation / Formation Registration Certificate Regn Certificate No.

Memorandum and Articles of Association Partnership Deed Trust Deed

Resolution of Board / Managing Committee Power of attorney granted to its manager, officers or employees to transact on its behalf

Activity Proof - 1 (For Sole Proprietorship Only) Activity Proof - 2 (For Sole Proprietorship Only)

3. ADDRESS* (Please see instruction **C** at the end)

3.1 Registered Office Address / Place of Business*

Proof of Address* Certificate of Incorporation / Formation Registration Certificate Other Document

Line 1*

Line 2

Line 3 City / Town / Village*

District* PIN / Post Code* State / U.T Code* ISO 3166 Country Code*

3.2 Local Address in India (If different from Above)*

Line 1*

Line 2

Line 3 City / Town / Village*

District* PIN / Post Code* State / U.T Code* ISO 3166 Country Code*

4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided" may be used) (Please refer instruction **D** at the end)

Tel. (Off) - FAX -

Mobile - Email ID

Mobile - Email ID

5. NUMBER OF RELATED PERSONS (Please refer instruction **E** at the end)

6. REMARKS (If any)

7. APPLICANT DECLARATION (Please refer Instruction **G** at the end)

- 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 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 aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : - -

Place:

[Signature / Thumb Impression]

Signature / Thumb Impression of Authorised Person(s)

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

Identity Verification Done Date - -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]