

BO - ID : **1 2 0 4 5 2 0 0 /**

Client Code :



# LABDHI

YOUR GROWTH. OUR MISSION.

## L.F.C. SECURITIES PVT. LTD.

CIN NO. : U67120MH2004PTC149792

☐ ONLY DP

☐ ONLY TRADING

☐ DP & TRADING

## INDEX

### MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI / EXCHANGES / DEPOSITORY

Sr. No.	Name of the Document	Brief Significance of the Document	Pg Nos.
1	Account Opening Form	A. Instructions / Checklist for filling KYC FormA	A1-A4
		B. KYC form - Document captures the basic information	A5-A11
2	Rights and Obligations	Document stating the Rights & Obligations of stock broker/ commodity broker / trading member, AP and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	B1-B19
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities & commodities market.	B20-B31
4	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	B32-B36
5	Significance of Policies and Procedures	Document describing significant policies & procedures of the stock & commodity broker.	B37-B40
6	Terms and Conditions (CDSL)	Terms and conditions for availing Transaction using secured texting (TRUST) service offered by CDSL	B41
7	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock & commodity exchange(s)	A12
8	Additional KYC form and Nomination	Additional KYC form for opening Demat Account and Nomination details.	A13-A16
9	Option for DIS Booklet and Terms and conditions-cum-Registration / Modification form	Terms and condition-cum Registration / Modification form for receiving SMS Alerts from CDSL	A17-A19
10	Declaration for BSDA facility	Document for availing of Basic Services Demat Account (BSDA) facility	A20
11	FATCA / CRS Declaration	FATCA / CRS Declaration	A21
12	HUF Declaration	HUF declaration declaring the list of members in HUF	A22
13	DP Charges	Document detailing the rate/amount of brokerage and other charges levied on the client for demat A/c services	A23

### **B. Non - Mandatory Documents (Voluntary)**

Sr. No.	Document Title	Description	Pg Nos.
1.	Consent Letter for Electronic Contract Note (ECN) and other documents Addendum to the Agreement	Consent letter by the client to receive daily contract notes as well as periodic other statutory documents and trade alerts in electronic medium(SMS/email)	A24-A25
2.	Letter of Authority for Maintaining Running Account.	Letter from the client giving authority to LFC Securities Pvt. Ltd. to have Running Account for Funds & Securities.	A26
3.	E-broking trading	Application for E-broking trading	A27
4.	Request for trading in NCDEX	Request letter for trading in commodity forward contracts/ commodity derivatives on NCDEX	A28
5.	Consent letter for MFSS (Mutual Fund Scheme) Applicable only if Segment Selected.	Letter from client who is desirous of Investing in Units of Mutual Fund Scheme Through BSE STAR MF & MFSS & its terms and condition.	A29-A30
6.	Demat & Bank A/c. details	Letter for multiple Demat A/c. & confirmation of Bank A/c.	A31
7.	Writeup on PMLA & Internal Control	(For Information only) Brief Writeup on the provisions of prevention of money laundering Act 2002 (PMLA) which client needs to know.	B42-B66
8.	Rights and Obligations For DP	RightsandObligationsofBeneficialOwnerandDepository ParticipantasprescribedbySEBIandDepositories.	B67-B69
9.	Power of Attorney for DP	Stamped Power of Attorney	A32-A34



**Name of the Stock Broker & Trading Member Details:-**  
**L.F.C. SECURITIES PVT. LTD.**  
**REGISTRATION / CORRESPONDENCE OFFICE ADDRESS :**

Unit No. 104 To 111, 1st Floor, Bhaveshwar Market, M. G. Road, Ghatkopar (E), Mumbai - 400 077.  
 Tel. : 2502 9200 Fax : 2502 9265 • E-mail : Info@labdhi.in • Website : www.labdhi.in  
 Investor Grievances Email : investorgreve@labdhi.in

**SEBI Single Regd. No. INZ000170736**

Exchange	Membership no.	Investor Grievance Email	Investor Grievance Contact
NSE	09228	ignse@nse.co.in	022-26598190
BSE	3025	is@bseindia.com	022-22728097
MSEIL	37500	investorcomplaints@mcx-sx.com	022-67318933 - 022-67319000
NCDEX	00333	ig@ncdex.com	022-66406789
MCX	12035	grievance@mcxindia.com	022-66494070 - 022-66494151
ICEX	1006	grievance@icexindia.com	022-40381546 - 022-40381511

**Details of Compliance Officer**

**Name : Santosh D. Patil - Contact No. : 9324307626 - E-mail : santoshp@labdhi.in**

**Details of CEO**

**Name : Santosh D. Patil - Contact No. : 9324307626 - E-mail : santoshp@labdhi.in**

**CLEARING MEMBER DETAILS**

Segment	Clearing Member	SEBI Regn. No & CM No.	Address
NSE F&O	Axis Bank Ltd	INF231133937 CM No.: C51072	Trishul, 3rd Floor, Opp.Samartheshwar Temple, Near Law Garden, Ellis Bridge, Ahmedabad-380006
NSE CDX		INE231308037 CM No.: M51568	
BSE F&O		INF011295138 - CM No.: P852	
BSE CDX		INE011357436 - CM No.: 4011	
MSEIL F&O		INF261476438 - CM No. : 29	
MSEIL CDX		INE261313634 - CM No. : 29	
MCX	GLOBE COMMODITIES LTD.	INZ000024939 - 8550	804, ANSAL BHAWAN, 16, K. G. MARG, CONNAUGHT PLACE, NEW DELHI - 110001
NCDEX		INZ000024939 - M50011	
ICEX		INZ000024939 - 1009	

**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 E-mail ID and Phone No. given above.**

**DISCLOSURE IN TERMS OF SEBI CIRCULAR NO.: SEBI/MRD/SE/CIR-42/2003 DATED NOVEMBER 19, 2003**

**L.F.C. Securities Pvt. Ltd. caters to Institutional, Corporate. High net-worth and other retail clients through membership of various exchanges. L.F.C. Securities Pvt. Ltd. besides doing client based business also does its own investment and/or trading. "Proprietary Trading Disclosure noted"**

**For L.F.C. Securities Pvt. Ltd**

**Client Name: \_\_\_\_\_**

**Director / Authorised Signatory**

**Client's Signature : \_\_\_\_\_**

**\* Strike out whichever is not applicable**

**Risk Assessment of Client in terms of PMLA 2002**

Type of Client	High Risk	Low Risk	Medium Risk	CSC (Client Special Category)	PEP (Politically Exposed Person)
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at the time of account opening  (Date)

Categorisation of client would be changed only if there is change based on risk assessment of the client during his dealings with **L.F.C. Securities Pvt. Ltd.**

**For L.F.C. Securities Pvt. Ltd.**



**Director / Authorised Signatory**

## INSTRUCTIONS/CHECK LIST 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.)**



## MANDATORY

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/ Notarypublic/ 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

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

**INSTRUCTIONS/ CHECK LIST**

1. Additional documents in case of trading in derivatives segments - illustrative list:
  - Copy of ITR Acknowledgement
  - In case of salary income - Salary Slip, Copy of Form 16
  - Copy of demat account holding statement.
  - Any other relevant documents substantiating ownership of assets.
  - Copy of Annual Accounts
  - Net worth certificate
  - Bank account statement for last 6 months
  - 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.*
2. 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.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. 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.
5. 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/firm/others and their specimen signatures.











## ANNEXURE

Name of the Applicant \_\_\_\_\_ PAN of the Applicant [ ][ ][ ][ ][ ][ ][ ][ ][ ]

**Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and Wholtime/Other Directors :**

<b>1. Name</b>	
----------------	--

Date of Birth   /   /     Status       PAN

[illegible]

DIN		UID		DPIN	
-----	--	-----	--	------	--

Photographs of  
Promoters / Partners /  
Karta / Trustees /  
Wholetime / Other  
Directors &  
authorised signatories

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholtime/Other Directors:

☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (PEP)

**2.** Name

Date of Birth    d | d / m | m / y | y | y | y    Status    PAN

[illegible]

DIN									UID										DPIN									
-----	--	--	--	--	--	--	--	--	-----	--	--	--	--	--	--	--	--	--	------	--	--	--	--	--	--	--	--	--

Photographs of  
Promoters / Partners /  
Karta / Trustees /  
Wholetime / Other  
Directors &  
authorised signatories

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholtime/Other Directors:

☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (PEP)

**3. Name**

Date of Birth   /   /     Status      PAN

[illegible]

DIN 



 UID 



 DPIN

Photographs of  
Promoters / Partners /  
Karta / Trustees /  
Wholetime / Other  
Directors &  
authorised signatories

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholtime/Other Directors:

☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (PEP)

4. Name \_\_\_\_\_

[illegible][illegible]

DIN [ ] [ ] [ ] [ ] [ ] [ ] [ ] UID [ ] [ ] [ ] [ ] [ ] [ ] DPIN [ ] [ ] [ ] [ ] [ ] [ ]

Photographs of  
Promoters / Partners /  
Karta / Trustees /  
Wholetime / Other  
Directors &  
authorised signatories

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholtime/Other Directors:

☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (PEP)

**5.** Name

Date of Birth

d | d / m | m / y | y | y | y

Status

PAN

[illegible]

DIN 

--	--	--	--	--	--	--	--

 UID 

--	--	--	--	--	--	--	--

 DPIN 

--	--	--	--	--	--	--	--

Photographs of  
Promoters / Partners /  
Karta / Trustees /  
Wholetime / Other  
Directors &  
authorised signatories

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholtime/Other Directors:

☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (PEP)

Date	D	D	M	M	Y	Y	Y	Y
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 3

**Name & Signature of the Authorised Signatory(ies)**

# MANDATORY

## Bank Details [Dividend Bank Details]

MICR code									
IFS Code (11 character)									
Account number									
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____								
Bank Name									
Branch Name									
Bank Branch Address									
City		State		Country		PIN code			

## DEPOSITORY ACCOUNT (S) DETAILS

Sr. No.	Depository Participant Name	Beneficiary Name	DP Account No.	DP ID No.	Depository Name
1					NSDL / CDSL
2					NSDL / CDSL

Please provide client master / holding statement containing name of the constituent

## TRADING PREFERENCES

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

<input type="checkbox"/> NSE - Cash ✍ 4	<input type="checkbox"/> BSE - Cash ✍ 9	<input type="checkbox"/> MSEIL - Cash ✍ 14	<input type="checkbox"/> MCX - Commodity ✍ 18
<input type="checkbox"/> NSE - F&O ✍ 5	<input type="checkbox"/> BSE - F&O ✍ 10	<input type="checkbox"/> MSEIL - F&O ✍ 15	<input type="checkbox"/> NCDEX - Commodity ✍ 19
<input type="checkbox"/> NSE - Currency ✍ 6	<input type="checkbox"/> BSE - Currency ✍ 11	<input type="checkbox"/> MSEIL - Currency ✍ 16	<input type="checkbox"/> ICEX - Commodity ✍ 20
<input type="checkbox"/> NSE Mutual Fund ✍ 7	<input type="checkbox"/> BSE Mutual Fund ✍ 12	<input type="checkbox"/> MSEIL- Debt ✍ 17	<input type="checkbox"/>
<input type="checkbox"/> NSE SLB ✍ 8	<input type="checkbox"/> BSE SLB ✍ 13	<input type="checkbox"/>	<input type="checkbox"/>

\*Financial details of the constituent/ Mandatory for clients who wish to trade in F & O

# 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.

## 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:

## DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS

If client is dealing through the authorised person, provide the following details

Name			Signature
Regd. Off.			
Tel.:		Website :	

NSE - Cash AP Regd. No.	BSE - Cash AP Regd. No.	MSEIL - Cash AP Regd. No.	MCX - Commodity AP Regd. No.
NSE - F&O AP Regd. No.	BSE - F&O AP Regd. No.	MSEIL - F&O AP Regd. No.	NCDEX - Commodity AP Regd. No.
NSE - Currency AP Regd. No.	BSE - Currency AP Regd. No.	MSEIL - Currency AP Regd. No.	ICEX - Commodity AP Regd. No.

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		Name of Sub-Broker, if any		Client Code		Exchange	
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Details of disputes/dues pending from/to such stock broker/sub- broker:

## ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify )


Specify your Email id, if applicable: \_\_\_\_\_

Whether you wish to avail of the facility of internet trading/ wireless technology (please specify ) ☐ Yes ☐ No

Number of years of Investment/Trading Experience \_\_\_\_\_

Any other information \_\_\_\_\_

## INTRODUCER DETAILS (Optional)

Name		Signature 
Add. / Tel.		
Status of the Introducer Sub Broker / Remisier / Authorized Person / Existing (Client / Other please specify _____)		

## ► Other Details (please see guidelines overleaf)

- **Gross Annual Income Details** : Income Range per annum : ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac  
(please tick ✓ ) ☐ Rs. 5 Lac to 10 Lac ☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ >1 Crore
- **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 No.** \_\_\_\_\_ **Name** \_\_\_\_\_ (\*attach GST certificate copy)
- **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) :  
☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)
- **Any other information** : .....
- Occupation (Please tick (✓) any one and give brief details):  
☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired  
☐ Housewife ☐ Student ☐ Forex Dealer ☐ Others (Please specify) \_\_\_\_\_

## 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.

Name		Signature  21
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	Place

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.

Date \_\_\_\_\_  **Signature of the Authorised Signatory** **Seal/Stamp of the stock broker**

## TARIFF SHEET

CASH SEGMENT	1st Leg		2nd Leg (Same Day)	
	%age	Min.	%age	Min
Trading				
Delivery				
EQUITY FUTURES	1st Leg		2nd Leg (Same Day)	
	%age	Min.	%age	Min
Trading				
Delivery				
EQUITY OPTIONS	1st Leg		2nd Leg (Same Day)	
	%age	Min.	%age	Min
Trading				
Delivery				
CURRENCY FUTURES	1st Leg		2nd Leg (Same Day)	
	%age	Min.	%age	Min
Trading				
Delivery				
CURRENCY OPTIONS	1st Leg		2nd Leg (Same Day)	
	%age	Min.	%age	Min
Trading				
Delivery				
COMMODITIES	1st Leg		2nd Leg (Same Day)	
	%age	Min.	%age	Min
Trading				
Delivery				
COMMODITY OPTIONS	1st Leg		2nd Leg (Same Day)	
	%age	Min.	%age	Min
Trading				
Delivery				

The above rates are exclusive of transaction charge, Stamp Duty, Securities Transaction Tax and Service Tax 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/Authorised Person/Introducer and client and the same are mentioned here.

The Maximum Brokerage shall not exceed that which is specified by the exchange / SEBI

 22

Client's Signature



Signature of the Sub-broker /Authorised Person / Introducer



Signature of Broker

# MANDATORY

SEBI REGISTRATION NO. : IN-DP-CDSL-281-2016

Additional KYC Form for Opening a Demat Account

Annexure 2.1

Name *	(Sole / First Holder)
	(Second Holder)
	(Third Holder)
<p>* 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.</p>	

## 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's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTRA) <input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others(specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI – Depository Receipts <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> Foreign National	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
<b><u>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')</u></b>	<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
<b><u>I/ We would like to share the email ID with the RTA</u></b>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b><u>I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic</u></b> <b><u>(Tick the applicable box. If not marked the default option would be in Physical)</u></b>	
Do you wish to receive dividend / interest directly in to your bank account 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

For NRIs / Foreign National			
Foreign Address		Indian Address	
City / State		City / State	
Country		Country	
Pin		Pin	
Tel. No.		Tel. No.	
Fax no.		Fax No.	
Currency		E-mail :	
RBI Reference No.		RBI Approval Date	

 **23**  
(Sole / First Holder)

 **3**  
(Second Holder)







 **3**  
(Third Holder)



# MANDATORY

<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure - 2.4</b>	MOBILE NO. +91 _____  [(Mandatory , if you are giving Power of Attorney ( POA)]  (if POA is not granted & you do not wish to avail of this facility, cancel this option).									
<b>Transactions Using Secured Texting Facility (TRUST).</b>  Refer to Terms and Conditions Annexure – 2.6	<b><u>I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.</u></b>  <input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>  <b><u>I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST</u></b>  <table border="1"> <thead> <tr> <th><u>Stock Exchange Name/ID</u></th> <th><u>Clearing Member Name</u></th> <th><u>Clearing Member ID (Optional)</u></th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	<u>Stock Exchange Name/ID</u>	<u>Clearing Member Name</u>	<u>Clearing Member ID (Optional)</u>						
<u>Stock Exchange Name/ID</u>	<u>Clearing Member Name</u>	<u>Clearing Member ID (Optional)</u>								
<i>Easi</i>	To register for <i>easi</i> , please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . <i>Easi</i> allows a BO to View his ISIN Balances, transactions and value of the portfolio online.									

(Signatures should be preferably in black ink)

SPECIMEN SIGNATURE			
Name			
Signature (In black ink only)	 24	 4	 4
Incase of minor holder, photograph of guardian has to be affixed along with minor's photograph	(Please paste and sign across the Photograph)  25	(Please paste and sign across the Photograph)  5	(Please paste and sign across the Photograph)  5

## NOMINATION DETAILS :

☐ I/We **do not wish to nominate any one for this demat account.**  
[Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form].

☐ I/We **nominate** the following \$person/s who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

BO Account Details					Nominee Reg. No.												
DP I D	1	2	0	4	5	2	0	0	C	lientID							
Name of the sole / First holder																	
Name of Second holder																	
Name of Third holder																	

 **26** \_\_\_\_\_  
(Sole / First Holder)

 **6** \_\_\_\_\_  
(Second Holder)

 **6** \_\_\_\_\_  
(Third Holder)

# MANDATORY

Nomination Details	Nominee 1	Nominee 2	Nominee 3
<b>Nominee Name :</b>			
<b>*First Name:</b>			
<b>Middle Name:</b>			
<b>*Last Name</b>			
<b>*Address:</b>			
<b>*City / *State:</b>			
<b>*Pin:</b>			
<b>*Country:</b>			
Telephone No:			
Fax No:			
<b>Nomination Details</b>	<b>Nominee 1</b>	<b>Nominee 2</b>	<b>Nominee 3</b>
PAN No:			
UID :			
Email ID:			
<b>*Relationship with the BO:</b>			
Date of birth (mandatory if Nominee is a minor):			
Name of the Guardian of Nominee (if the nominee is minor):			
<b>*First Name:</b>			
<b>Middle Name:</b>			
<b>*Last Name</b>			
<b>*Address of the Guardian of nominee:</b>			
<b>*City / *State:</b>			
<b>*Country:</b>			
<b>*Pin:</b>			
Age			
Telephone:			
Fax No:			
Email ID:			
<b>*Relationship of the Guardian with the Nominee:</b>			
<b>*Percentage of allocation of securities: (%)</b>	<input type="text"/> (%)	<input type="text"/> (%)	<input type="text"/> (%)
<b>*Residual Securities [please tick any one nominee. If tick not marked default will be first nominee]:</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**\*Note :** Residual securities: incase of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.




## MANDATORY

### \* Marked is Mandatory field

This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me / us.

Place: \_\_\_\_\_

Date: \_\_\_\_\_

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	 27	 7	 7

Note: \$ **One witness** shall attest signature/ Thumb impression.

Details of the Witness	
	<b>Witness</b>
Name of witness	
Address of witness	
Signature of witness	

I/We have received and read the Rights and Obligations document and 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 agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. 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.

Date : \_\_\_\_\_

Note : 1. Where the holder is a minor, person lawfully entitled to act on behalf of the minor should sign the nomination.  
2. Birth Certificate is required in case of Minors.

## OPTION FORM FOR ISSUE OF DIS BOOKLET

Date

DP ID	1	2	0	4	5	2	0	0	Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To,  
 L.F.C. SECURITIES PVT. LTD.  
 Unit No.104-111, 1st Floor, Bhaveshwar Market, M.G. Road, Ghatkopar-(E), Mumbai 400077.  
 Tel. No. 25029282/25029284 Fax : 25029265 • E-mail : info@labdhi.in / investorgreve@labdhi.in




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 my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

Yours faithfully




	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	 28	 8	 8

**OR**

☐ **OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. 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 Holder	Third Holder
Name			
Signature	 29	 9	 9

## Additional Details :

<b>SMS Alert Facility</b>	<input type="checkbox"/> Yes	MOBILE NO. +91 _____ Refer to Terms & Conditions given as <b>Annuxure - 2.4</b>	<input type="checkbox"/> No
<b>easi</b>	<input type="checkbox"/> Yes. If yes, please contact your DP for details [Facility through CDSL's website : <a href="http://www.cdslindia.com">www.cdslindia.com</a> wherein a BO can view his ISIN balances, transactions and value of the portfolio online.]		<input type="checkbox"/> No

### Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

#### 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](mailto: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 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



30

(Sole / First Holder)



10

(Second Holder)



10

(Third Holder)

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 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.

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.

I/We provide the following information for the purpose of **REGISTRATION / MODIFICATION** (Please cancel out what is not applicable).

BOID

1	2	0	4	5	2	0	0										
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name : \_\_\_\_\_

Second Holder's Name : \_\_\_\_\_

Third Holder's Name : \_\_\_\_\_

Mobile Number on which  
messages are to be sent

+91																	
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of : \_\_\_\_\_

I/we request you to send electronic transaction-cum-Holding statement at the E-mail ID

☐ Yes ☐ No.

Email ID: 1) \_\_\_\_\_ (2) \_\_\_\_\_

(Please write only ONE valid email ID on which communication; if any, is to be sent)

 **31**  
(Sole / First Holder)

 **11**  
(Second Holder)

 **11**  
(Third Holder)



**Declaration for availing of  
Basic Services Demat Account (BSDA) facility**

To,  
L.F.C. SECURITIES PVT. LTD.  
Unit No.104-111, 1st Floor,  
Bhaveshwar Market, M.G. Road,  
Ghatkopar-(E), Mumbai 400077.  
Tel. No. 25029282/25029284 Fax : 25029265  
E-mail : info@labdhi.in / investorgreve@labdhi.in

**Subject: Declaration for availing/Non availing of Basic Services Demat  
Account (BSDA) facility**




Dear Sir / Madam,

I / We wish to avail the BSDA facility for the new account for which I/we have submitted my / our account opening form

I / We wish to avail the BSDA facility for my / our below mentioned demat account number.

I / We do not wish to avail the BSDA facility for my / our below mentioned demat account number.

I/We have read and understood the regulatory (SEBI) guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines as notified from time to time. I/we also undertake to comply with the guidelines issued by any such authority for BSDA facility from time to time. I/We also agree that in case our demat account opened under BSDA facility does not meet the eligibility for BSDA facility as per guidelines issued by SEBI or any such authority at any point of time, my / our BSDA account will be converted to regular demat account without further reference to me/us and will be levied charges as applicable to regular accounts as informed by the DP. I/We also understand that by opting for BSDA account facility, I/We will be entitled to receive only the Basic services offered by USI, the first / Sole holder also hereby declare that I do not have / propose to have any other demat account across depositories as a first / sole holder.

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	 32	 12	 12

## FATCA / CRS DECLARATION / SELF CERTIFICATION

		First/Sole Holder	Second Holder (if any)	Third Holder (if any)
Client Code:				
Demat Account No.				
1.	Indicate (✓) your Tax Residency / Citizenship / Nationality	<input type="checkbox"/> India <input type="checkbox"/> U.S.A <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> U.S.A <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> U.S.A <input type="checkbox"/> Others
If ticked on "Others" and/or "U.S.A", please provide all details under point no. 2,3,4,5 below:				
2.	Specify City and Country of Birth			
3.	Specify Country(ies) of Tax Residency/ Citizenship / Nationality / Green card holder, other than India			
4.	Tax Identification Number (for U.S.A.) or its functional equivalent (other than U.S.A.)			
5.	Source of Wealth	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others

## DECLARATION

I / We hereby declare, agree and confirm the following:

- The details furnished above are true to the best of my knowledge and belief and shall undertake to inform L.F.C. Securities Pvt. Ltd. within 30 days, in case of any change in the above given status on a future date;
- If I /we am/are U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details, would be reported by L.F.C. Securities Pvt. Ltd. to the relevant tax authority, or information may be shared with concerned Asset Management Companies (AMCs) or such other product providers, to whom FATCA/ CRS norms are applicable or to any of the Government Agencies / Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India;
- If my / our Country of Birth is US, however, I / We declare that I/ We are not US Person, I / We shall provide a certificate of relinquishment of citizenship (Loss of nationality) OR a self certification stating reasons for not having such a certificate despite relinquishing US citizenship OR not obtaining US citizenship at birth.

FH  33

(First/Sole Holder Signature)

SH  13

(Second Holder Signature)

TH  13

(Third Holder Signature)

### What is FATCA / CRS?

The U.S. government introduced the Foreign Account Tax Compliance Act, 2010 (FATCA) for obtaining information on accounts held by U.S. taxpayers in other countries. Further, Organization for Economic Co-operation & Development (OECD) and G20 countries agreed for automatic exchange on information through Common Reporting Standards (CRS). The Government of India has signed an Inter-Government Agreement (IGA) with US and has also joined the Multilateral Competent Authority agreement (MCAA) for automatic sharing of information with member countries of OECD and G20. By virtue of India signing an IGA with US and joining MCAA, Indian financial institutions will have to provide the required financial information to Indian tax authorities which in turn would forward reportable information to US IRS and member countries of OECD and G20 countries.

In order to implement FATCA and CRS norms in India, L.F.C. Securities Pvt. Ltd. is required to implement procedures to identify U.S. account holders or other jurisdictions reportable accounts, perform due diligence and obtain documentary evidence wherever required and report details of such accounts to relevant tax authority.

**US Person means:** In case of individuals, U.S. person means a citizen or resident of the United States. Persons who would qualify as U.S. persons could be born in United States, born outside the United States of a US parent, Naturalized citizens, Green Card Holders, tax residents.

### Who is Reportable Person (Non US) under Common Reportable Standards (CRS)?

Under Common Reportable Standards (CRS), reportable person means Tax residents of a reportable foreign jurisdiction other than U.S. (Please note the above information is provided only for quick reference to customers. You are requested to consult a legal/ tax advisor if in doubt.)

### Documents to be collected if Customer's Country of birth is U.S. but declare that he/ she are not a U.S. person

- Certificate of relinquishment of citizenship (Loss of nationality certificate); OR
- Self certification for stating reasons for not having such a certificate despite relinquishment U.S. citizenship; OR
- Self certification for stating reasons for not obtaining U.S. citizenship at birth.

## HUF DECLARATION

To,  
L.F.C. SECURITIES PVT. LTD.  
Unit No.104-111, 1st Floor,  
Bhaveshwar Market, M.G. Road,  
Ghatkopar-(E), Mumbai 400077.  
Tel. No. 25029282/25029284 Fax : 25029265  
E-mail : info@labdhi.in / investorgreve@labdhi.in

Date : \_\_\_\_ / \_\_\_\_ / 201 \_\_\_\_

Dear Sirs,

I hereby request your to open our demat account with you, for our HUF.

Being karta of my family, I hereby declare that following is the list of family members in our HUF, as on date of Application, i.e.

Sr.No.	Name of Family Members	Sex	Relations	Date of Birth

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for making this application to open Account.

I agree that any false/misleading information given by me or suppression of any material information will render my said demat account liable for termination and further action. Further, I agree that I will immediately intimate any death/s or birth/s in the family as it charges the

Thanking you,

Yours faithfully,

 34A

(affix stamp of HUF)

-----  
Acknowledgment

DP Ref. No. \_\_\_\_\_



**LFC**

**Securities Pvt. Ltd.**

CDSL DP ID : 1204520000 \_\_\_\_\_

Unit No. 104 To 111, 1st Floor, Bhaveshwar Market, M. G. Road, Ghatkopar (E), Mumbai - 400 077. Tel. : 2502 9283 / 2502 9284 Fax : 2502 9265 E-mail : info@labdhi.in / investorgreve@labdhi.in

Accepted / rejected the application from Mr./Mrs. \_\_\_\_\_ as the sole/first holder along with \_\_\_\_\_ and \_\_\_\_\_ as the second and third holders respectively for opening of a depository account. With appointed nominee Mr. Mrs. \_\_\_\_\_ residing at \_\_\_\_\_ on dated \_\_\_\_\_. Your Client Id will be intimated to you shortly on acceptance. Please quote the DP Id & Client Id allotted to you in all your future correspondence.

Date :

For L. F. C. Securities Pvt. Ltd.

(Authorised Signatory)

**Instructions for the Applicants :-**

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address and Tel. No. etc. of the Magistrate / Notary Public / Special Executive Magistrate are to be provided in case of any attestation done by them.
4. In case of additional signature (for accounts other than individuals), separate annexures should be attached to the application form.
5. In case of applications under a Power of Attorney, the relevant Power of Attorney or the certified and duly notarised copy thereof, Name of the POA, Signature of the POA, must be lodged with DP along with the application.
6. All correspondence / queries shall be addressed to the Sole / first Applicant only.
7. Fields marked with \* are compulsory.
8. Strike of whichever is not applicable.

Sr.No.	Particular	<input type="checkbox"/> Investor	<input type="checkbox"/> Trader
		<b>CDSL</b>	<b>CDSL</b>
1	Account Opening Charges	Nil	Nil
2	Annual Membership Charges	Rs.200/-	Rs.1000/-
3	GST (18%)	Rs. 36/-	Rs. 180/-
4	Advance for Future Billing	Rs. 264/-	Rs. 320/-
	<b>Total Amount</b>	<b>Rs.500/-</b>	<b>Rs.1500/-</b>
5	Sale (Market & Off Market)	0.005% Min12/- Max 30/-	FLAT 12/-
6	Custody Charges	NIL	NIL
7	Dematerialisation	Rs.3/- Per Certificate	Rs.3/- Per Certificate
8	Postage Per Demat Request	Rs.25/-	Rs.25/-
9	Rematerialisation	Rs.3/- Per Certificate	Rs.3/- Per Certificate
10	Postage Per Remat Request	Rs.25/-	Rs.25/-
11	Creation/Confirmation of Pledge	Rs.25/-	Rs.25/-
12	Closure/Confirmation of Pledge	Rs.25/-	Rs.25/-
13	Invocation of Pledge	Rs.25/-	Rs.25/-
14	Late Transaction Charges (per txn)	Rs.10/-	Rs.10/-
15	Account Closing	NIL	NIL

**Other Terms :**

- You may avail of hasselfree, paperless "Automated Pay - in" facility by executing one time "POA" on stamp paper of Rs. 100/-
- A scheme can be upgraded at any time upon written request, which shall be effective from subsequent bills.
- Transaction and Holding statements will be mailed once in a month Free of cost.
- Late / same day instructions are accepted at client's risk.
- Any service not quoted above will be charged separately.
- GST as applicable would be charged extra, currently @ 18% inclusive of education cess.
- Fees scheduled is based on existing CDSL charges and is subjected to change at the sole discretion of L. F. C. Securities Pvt. Ltd.
- All payments to be made in the name of L. F. C. Securities Pvt. Ltd. via a cheque / DD.
- The B. O. unconditionally authorise L. F. C. Securities Pvt. Ltd. and has no objection in charging the depository services bills to his / its undermentioned accounts / client code maintained with the following Stock Broker(s) :

Client code \_\_\_\_\_ Client particulars \_\_\_\_\_ with Broker \_\_\_\_\_

 **34**  **14**  **14**

**Self Checklist : Check the application form before submitting to L.F.C. Securities Pvt. Ltd.**

- |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <ul style="list-style-type: none"> <li><input type="checkbox"/> Name of the holder</li> <li><input type="checkbox"/> Occupation</li> <li><input type="checkbox"/> Telephone / Fax Number</li> <li><input type="checkbox"/> Address/Pin Code Number</li> <li><input type="checkbox"/> Bank Name, Branch Address and Account No.</li> <li><input type="checkbox"/> PAN/GIR No.</li> <li><input type="checkbox"/> Standing Instruction to receive credit</li> <li><input type="checkbox"/> Name and Signature</li> <li><input type="checkbox"/> Specimen Signature</li> <li><input type="checkbox"/> Photograph of each holder and signature across it</li> <li><input type="checkbox"/> Nomination</li> <li><b>If Minor</b></li> <li><input type="checkbox"/> Date of Birth certificate</li> <li><input type="checkbox"/> Proof of address and identity documents of the Guardian</li> <li><input type="checkbox"/> Both Minor and Guardian's photographs and Guardian to sign across both photographs</li> <li><b>If NRI - NRI (NRO)</b></li> <li><input type="checkbox"/> Foreign Address and RBI approval date</li> <li><input type="checkbox"/> Attested copy of RBI Approval</li> </ul> | <ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Proof of Identity (Any One)</b><br/>Passport / PAN Card with Photograph / Photo Credit Card issued by Bank / Driving License / Election Card / Employment Card / Student Identity Card / Introduction by a Bank (as above) / MAPIN Card / Identity Card with applicant's photo, issued by Statutory or Regulatory Authorities / Bank / Financial Institutes / Affiliated Colleges / Professional Bodies.</li> <li><input type="checkbox"/> <b>Proof of Residence (Any Two)</b><br/>Photocopy of - Passport / Election Card / Ration Card / Driving License / Bank Pass Book / Electricity or Telephone bills (not more than 2 months old) / IT Returns / Taxes Paid / Leave and License Agreement / Agreement for sale / documents with address issued by Statutory or Regulatory Authorities / Banks / Financial Institutes, Affiliated Colleges / Professional Bodies.</li> <li><b>HUF</b></li> <li><input type="checkbox"/> Karta stamp required with Signature</li> <li><input type="checkbox"/> HUF Agreement / Deed Copy</li> <li><input type="checkbox"/> Details of family members/coparceners</li> </ul> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

**● Nomination Compulsory ● Bank Details for all ● For SMS alert Mobile No. Compulsory**

*Name of Client:* \_\_\_\_\_

*Client Code :* \_\_\_\_\_

Date : \_\_\_\_\_

To,  
M/s. L.F.C. Securities Pvt. Ltd.  
104-111, Bhaveshwar Market,  
1<sup>st</sup> Floor, M.G. Road,  
Ghatkopar-(E), Mumbai 400077.

Dear Sr,

**Sub : Letter of Authority for issuance of digital contract notes/bills/ledge A/c./daily margin statement/ Security Register/Collateral Register / Any other documents.**

I/We have been / shall be dealing in Capital Market, Future & Option & Currency Derivatives, Commodities / Debt & Mutual Fund.

I/we have the option to receive the contract note in physical form or electronic form. In pursuance of the same I/we hereby opt for receipt of contract notes in electronic form.

In reference to my / our dealings with you as your client I/we hereby authorize you to send the digitally signed Contract Notes / Bills / Ledger A/c / Security Register / Collateral Register / or any other documents at my / our following mention e-mail ids.

E-Mail Id : 1. \_\_\_\_\_

2. \_\_\_\_\_

The above mentioned e-mail ID has been created by me and not by some one else.

I/ we also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email accounts.

In case of any failure in system or errors in digital contract notes / bills etc. it will be issued in physical form which shall be binding on the client.

Discrepancies, if any, should be intimated to you within reasonable time from issuance of digital contract notes / bills, etc.

It will be my/our responsibility to regularly cheque the mail box & keeping the storage space for new e-mail messages.

I/We have noted that the contract notes will also be available at the member's website [www.labdhi.in](http://www.labdhi.in)

If there is any change in my/our email ID or in the name or in the residential / correspondence address, the same shall be intimated to you in writing through physical letter within reasonable period of time.

I/We have noted the following:

The authorization shall be signed by me / us only and not by any authorized person on my behalf or any holder of the Power of Attorney.

Your truly,

Signature..... 35

**Consent form for receiving trade alerts through SMS and / or E-mail**

To,

**L.F.C. Securities Pvt. Ltd.**

104-111, Bhaveshwar Market,

M.G.Road, Ghatkopar-(E),

Mumbai 400077

Dear Sir,

I/We, \_\_\_\_\_, a Client with M/s. L.F.C. Securities Pvt. Ltd. of BSE/NSE/MSEIL MCX / NCDEX / ICEX undertake as follows:

1. I/We are aware that BSE, NSE, MSEIL, MCX, NCDEX, ICEX provides the details of the trades executed on its trading platform to the concerned clients / constituents through SMS and E-mail alerts.
2. I/We are aware that the Member has to provide the trade details through SMS / E-mail alerts for my convenience at my request only.
3. I/We hereby confirm that I/We wish to receive the trade alerts through :
  - a. SMS : ☐
  - b. E-mail : ☐
  - c. SMS and E-mail : ☐
  - d. None of the above: ☐
4. The alerts should be sent on
  - a. Mobile No. : 

--	--	--	--	--	--	--	--	--	--
  - b. E-mail Address : \_\_\_\_\_

I/We hereby agree to the terms and conditions specified by the Exchange vide circulars as modified from time to time. I/We are aware that this is an additional facility provided by the Exchange and we shall not solely rely or use such data for any purpose and Exchange shall not be liable for any direct or indirect loss of any nature because of providing this additional facility. I/We am/are aware that the receipt of SMS/Email alerts on the above mobile number and/or email address can be stopped only on our/my written request

Name of the client: \_\_\_\_\_

Unique Client Code: \_\_\_\_\_ Signature of client:  **36** \_\_\_\_\_

Pan No. : \_\_\_\_\_



**From :****Name of the Client** \_\_\_\_\_**Client Code :** \_\_\_\_\_

Date : \_\_\_\_\_

**To,**  
**The Trading Member,**  
**M/s. L.F.C. Securities Pvt. Ltd.**  
**104-111, Bhaveshwar Market,**  
**1<sup>st</sup> Floor, M.G. Road, Ghatkopar (E),**  
**Mumbai 400077**

Dear Sir/ Madam

**Sub : Authority to maintain my/our running A/c. of funds/securities**

I/ we \_\_\_\_\_ would like to trade on BSE-Cash / F&O / Debt / MF-  
MCX-SX-Cash/F&O /Debt / Currency /MF, NSE-Cash / F&O / Currency /MF / Debt / SLB, MCX, NCDEX & ICEX

I / we hereby authorized you to do the following :

1. I/We hereby request you to maintain my account, both securities and funds, in respect of all stock exchanges and all segments with you on running basis. This will facilitate smoothness in my/our transactions through you.
2. I/We also request you to consider the balances in my/our running funds and securities account with you for the purpose of margin/any other Lawful obligations due to you. In view of the above it would be proper for you to release the funds and securities due to me/us on my/our specific request, either written or oral. You may charge the cost of holding securities to my/our account with you.
3. I/We hereby willfully & unconditionally issue standing instruction for transfer of credit / debit balance as appearing in my ledger account(s) from one segment to another segment of same stock exchange and/or any segment of another stock exchange with you.
4. I/We request you to settle my fund and securities account. (Choose One Option)  
Once in a calendar Month ☐  
Once in every calendar Quarter ☐
5. I/We confirm you can hold balance upto Rs. 10,000/- in Equity Market & upto Rs. 50,000/- in Commodities Market.
6. 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 within 30 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.

I am aware that above instruction can be withdrawn in full or in part at any time by giving written intimation duly acknowledged by you. I am aware that this said revocation will take effect after the completion of pending obligations in respect of margin and inter-exchange/segment account transfer etc.

I have noted the following :

- The authorization shall be signed by me only and not by any POA holder or by any authorized person.

Thanking You,

Yours truly,

Signature..... 37

*Name of Client:* \_\_\_\_\_

*Client Code :* \_\_\_\_\_

Date : \_\_\_\_\_

**To,  
M/s. L.F.C. Securities Pvt. Ltd.  
104-111, Bhaveshwar Market,  
1<sup>st</sup> Floor, M.G. Road,  
Ghatkopar-(E),  
Mumbai – 400077.**

Dear Sir,

I wish to trade the online trading platform. Therefore I request you to generate my username Login ID and Password for the E-Broking Trading

I confirm that my email address is \_\_\_\_\_

I also consent for E-Broking username and Password, as also other communication from you not restricted to E-Broking, to be communicated on the above mentioned Email address.

I confirm that I have read the below terms mentioned and conditions and agree to abide by the same.

**Terms & conditions for online trading through E-Broking Platform**

The client has permitted the Stock Broker to provide online trading services through online trading services through means of its E-broking Platform. For this Purpose the Client has provided E-mail address and the consent for communication of E-Broking username and Password through the email.

Now therefore, in consideration of the stock Broker having agreed at its discretion to provide online trading through its E-Broking Platform on the following terms and conditions:

1. The Stock Broker shall generate the client's user ID and password and communicate the same to the client registered email id and shall be deemed to be received by the client and its client's duty to ensure it's confidentially and secrecy unless the Stock –broker receives a rejection of the same has bounced back upon which the stock broker shall duly intimate the client. If the client wishes to change his email id, the client would send a request the same would be effected on due verification.
2. If the client for any reason cannot to open the document delivered by the Stock broker the delivery shall then be made by the other format provided the client informs the stock broker with 24 hrs of the delivery of the said information. The same is applicable in case the E-broking platform gets locked, the client shall intimate the stock brokers through a written letter or an email who shall reset the same.

Signature..... **38**

From,

Name of the Client : \_\_\_\_\_

Client Code : \_\_\_\_\_

Date : \_\_\_\_\_

**L.F.C. SECURITIES PVT. LTD.**

104-111, Bhaveshwar Market,  
1st Floor, M. G. Road, Ghatkopar (E),  
Mumbai - 400 077.

Dear Sir/Madam,

***Subject :- My /Our request for trading in commodity forward contracts /  
commodity derivatives on NCDEX as your client.***

I / We, the undersigned, have taken cognizance of circular no. NCDEX / TRADING 114/2006/247 dated September 28, 2006 issued by the National Commodity & Derivatives Exchange Limited (NCDEX) 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 declare and undertake that we will not exceed the position limits prescribed from time to time by NCDEX or Forward Markets Commission and such position limits will be calculated in accordance with the contents of above stated circular of NCDEX as modified from time to time.

I/We undertake to inform you and keep you informed if I/any of our partner / directors / karta / trustee or any of the partnership firms / companies / HUFs / Trusts in which I or any of above such person is a partner / director /karta/trustee, takes or holds any position in any commodity forward contract/ commodity derivative on NCDEX through you or through any other member (s) of NCDEX, to enable you to restrict our position limit as prescribed by the above referred circular of NCDEX, 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 clients on NCDEX only on the basis of our above assurances and undertaking.

Your's faithfully,

Signature..... 39.....

Sole Proprietor / Partner / Director / Karta / Trustee\*

**AUTHORIZATION LETTER**

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

To,  
L.F.C. Securities Pvt. Ltd.,  
104-111, Bhaveshwar Market,  
M.G. Road, Ghatkopar-(E),  
Mumbai - 400077

Sir,

A. Availing Mutual Fund Service System (MFSS) facility/ BSE StAR MUTUAL FUND (hereinafter jointly referred to "Mutual Fund Transaction Facilities") **Yes** **No** ☐ ☐

I/We am/are interested in availing the trading facility of the Exchanges for the purpose of transacting in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS and BSE StAR MUTUALFUND of NSE and BSE respectively. I/We therefore request you to register me/us as your client for participating in the Mutual fund transaction facilities (MFSS and BSE StAR MUTUALFUND). I/We are willing to abide by the terms and conditions as mentioned in the NSE Circular dated 24/11/09, BSE Circular dated 02/12/2009 and further circulars as may be specified by the Exchanges from time to time in this regard. I/We shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). For the said purpose of availing these facilities, I/We state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of Mutual fund transaction facilities and I/We further confirm that the details contained in same remain unchanged as on date. I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/We choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes. With reference to my application for registering as a client for Mutual Fund Transaction facilities offered by NSE and BSE, I/We hereby undertake to provide funds to the Participant equivalent to the subscription amount and applicable brokerage/ fees/ charges before applying for mutual fund units through the Participant. For this purpose, I/We hereby authorize L.F.C. Securities Pvt. Ltd to utilize the surplus funds in my/our Broking account held with L.F.C. Securities Pvt. Ltd in its capacity as a Stock Broker and transfer funds to the extent of subscription amount and/or applicable brokerage, fees, charges and other statutory levies (in case of both subscription and redemption) and/or any other trade related obligation to meet the debit in my/ our Mutual fund transaction account. My/our exposure limits in my trading account shall be reduced to the extent of the amount utilized for transacting in the mutual fund units as per my instruction. In case of subscription request, I/We hereby understand and agree that based on my instruction, the amount will be debited in my Mutual fund transaction account and surplus funds shall be transferred from my Broking account to my mutual fund transaction account as per this authority letter.

I/We agree and undertake to make good such shortfall immediately as may be informed by L.F.C. Securities Pvt. Ltd from time to time. In case of a redemption request, I/We agree and authorise L.F.C. Securities Pvt. Ltd to debit my mutual fund transaction account to the extent of applicable brokerage, fees, charges and other statutory levies and further authorize to utilize the surplus funds in my/our Broking account held with L.F.C. Securities Pvt. Ltd in its capacity as a Stock Broker and transfer funds to the extent of applicable brokerage, fees, charges and other statutory levies (in case of both subscription and redemption)

and/or any other obligation to meet the debit in my/our Mutual fund transaction account.

B. Authorization for Systematic Investment in Mutual Fund / Securities **Yes** ☐ **No** ☐

I/We hereby authorize L.F.C. SECURITIES PVT. LTD to execute an order in my/our account held with L.F.C. SECURITIES PVT. LTD for purchase of the securities and/or mutual fund units under systematic investment plan on my/ our behalf as per my/our instructions.

I/We further agree and understand that all the terms and conditions of the trading mandatory & voluntary /terms and condition entered into/agreed with L.F.C. SECURITIES PVT. LTD shall be also applicable to the instructions for systematic investment in mutual fund units / securities and I/We hereby agree to abide by the same at all times.

I/We understand that the instructions for systematic investment can be given by me in writing or through the online facility provided by L.F.C. SECURITIES PVT. LTD or over recorded telephone line. I/We hereby agree and understand that the said instructions shall be valid and binding upon me/us until modified and/or cancelled by me/us by giving valid instruction to L.F.C. SECURITIES PVT. LTD either in writing or through the online facility provided by L.F.C. SECURITIES PVT. LTD.

I/We hereby undertake to give an ECS mandate/ standing instruction in favour of L.F.C. SECURITIES PVT. LTD towards my/our trade obligations arising out of this authorization or I/we hereby authorize L.F.C. SECURITIES PVT. LTD to execute order under SIP on the basis of clear fund available in my ledger account and as per risk management policy.

I/We hereby authorize L.F.C. SECURITIES PVT. LTD to debit my/our trading account held with L.F.C. SECURITIES PVT. LTD towards my/our trade obligations and all the fees, charges, taxes, brokerage etc due and payable by me/us.

I/We understand that this authorization can be revoked by me/us at any time by giving a written notice at least 30 days in advance to L.F.C. SECURITIES PVT. LTD.

I/We understand that such revocation shall be effective from the date of receipt of confirmation of the same from L.F.C. SECURITIES PVT. LTD. I/We agree and undertake to fulfill all my/our obligations as per the instructions for systematic investment arising in my/ our account before the effective date of such revocation.

I/We agree to abide by the Terms and Conditions applicable for Systematic Investment in Mutual Fund and/or Securities and any amendments thereto at all times.

I/We undertake to indemnify and keep indemnified L.F.C. SECURITIES PVT. LTD and its directors / officers for all trades executed on my / our behalf as per the instructions given by me/us.

Signature..... 40

# VOLUNTARY

From : \_\_\_\_\_

Date : \_\_\_\_\_

To,  
**L.F.C. SECURITIES PVT. LTD.**  
Mumbai.

Sub : Details of Demat Account and Bank Account for Pay-In and Pay-out of Securities and Funds  
Demat Account No. \_\_\_\_\_

## 1. Demat Details :

Sr. No.	DP Name	DP ID	Client ID
1.			
2.			
3.			
4.			

The above mentioned details will be applicable only for **Pay-In**.

Please transfer all securities purchased by me to below mentioned account.

DP Name	DP ID	Client ID

## 2. Bank Details :

Sr. No.	Name of the Bank	Branch	Type of A/c	A/c No.
1.	MICR CODE			
2.	MICR CODE			
3.	MICR CODE			
4.	MICR CODE			

Please take the same on your records

Thanking you,

Your's truly,

Signature.....41

Encl: Demat Client Master reports or holding statement (Latest)  
Latest Bank Statement / Bank Passbook and Xerox Copy of Cancelled Cheque.



**POWER OF ATTORNEY REVOCABLE/LIMITED PURPOSE**

TO ALL TO WHOM THESE PRESENTS SHALL COME;

I/We \_\_\_\_\_ (I.T.PAN: \_\_\_\_\_) residing at \_\_\_\_\_

I/We \_\_\_\_\_ (I.T.PAN: \_\_\_\_\_) residing at \_\_\_\_\_

I/We \_\_\_\_\_ (I.T.PAN: \_\_\_\_\_) residing at \_\_\_\_\_

(here in after referred to as 'the Client(s)') Indian inhabitant SEND GREETINGS.

Whereas I/we hold the Beneficiary account(s) of dematerialized securities as per the particulars mentioned in the Annexure – I appended hereunder (herein after referred to as 'the Client's Accounts').

And Whereas I/we am/are investor(s) engaged in subscribing to and buying/selling of share, securities and other financial products and services through and/or with L.F.C. SECURITIES PVT. LTD., (I.T. PAN: AABCL0431E) having its registered office at Unit No.104-111, 1st Floor, Bhaveshwar Market, M.G. Road, Ghatkopar - (E), Mumbai 400077.

And Where as due to exigency and paucity of time, I/we am/are desirous of appointing an agent/attorney to operate my/our said beneficiary account(s) of dematerialized securities on my/our behalf for the limited purposes and in the manner hereinafter appearing:

NOW KNOW WE ALL AND THESE PRESENTS WITNESS THAT I/WE THE ABOVE NAMED DO HEREBY NOMINATE, CONSTITUTE AND APPOINT L.F.C. SECURITIES PVT. LTD. as my/our true and lawful attorney (hereinafter referred to as 'the Broker/Attorney') for me/us and authorise it to perform the following functions on my/our behalf and in my/our name.

1. I/We, the Client(s) hereby authorise the said Broker/Attorney to instruct the concerned depository participant(s) to transfer the securities from the said Client's Accounts and to sign the necessary documents/papers/instruments required for this purpose.
2. The authority of the said Broker/Attorney is limited;
  - a. to the transfer of securities from the said Client's Accounts to the credit of dematerialized securities account(s) of the said L.F.C. SECURITIES PVT. LTD. , the Broker/Attorney and/or to the accounts of the designated custodians, clearing houses/corporations and stock exchanges. The particulars of the Broker/Attorney's Accounts are mentioned in the Annexure – II appended herewith (hereinafter referred to as the 'Broker's Accounts'). AND
  - b. for the purposes as appearing hereinafter.
3. To have the first and paramount lien on the designated Beneficiary Account(s) and to exercise such lien in the event of any loss suffered on account of any transaction done/ executed by me/us with L.F.C. SECURITIES PVT. LTD.
4. Generally, to do all such acts, deeds, matters and things as may be necessary for or incidental to ensure that all payments and/or margin obligations for and delivery of securities/ commodities / trading in F&O / currency segment arising out of transactions undertaken by me/us with L.F.C. SECURITIES PVT. LTD. The term Securities shall include securities as defined by the Securities Contract (Regulation) Act, 1956 as amended from time to time.
5. The Broker/Attorney is authorised;
  - a. To transfer securities from the said Client's Accounts towards stock exchange related margin/delivery obligations arising out of trades executed by the Client(s) on the recognized stock exchanges through the said Broker/Attorney.
  - b. To pledge the securities laying in the Client(s) account in its own favour and/or in favour of the designated custodians, clearing houses/corporations and stock exchanges, for the limited purpose of meeting the margin requirements of the client(s) in connection with the trades executed by the clients on the stock exchanges through the said Broker/Attorney.
  - c. To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc. pursuant to and in accordance with the instructions of the Client(s).

**ANNEXURE - I**  
List of Client(s) Accounts

Details of Beneficial Owner Account of the Client that the Member is entitled to operate is as

Client Name	Client Code	BO Account No.

under

**ANNEXURE - II**  
List of Broker's Accounts

Details of the Accounts in which the Shares can be transferred by the Member is as under

Name Of The Stock Brokers And Depository Participants	Account No. Of The Stock Brokers And Depository Participants	Status of A/C
LFC SEC PVT. LTD.	12045200 00007486	NSE POOL CDSL
LFC SEC PVT. LTD.	12045200 00102246	NSE F&O AND CURRENCY MARGIN
LFC SEC PVT. LTD.	12045200 00008154	BSE CM Principal
LFC SEC PVT. LTD.	12045200 00038130	MSEIL F&O CURRENCY
LFC SEC PVT. LTD.	CM-ID-37500	MSEIL POOL A/C.
LFC SEC PVT. LTD.	12045200 00064680	MCX COMM. MARGIN A/C.
LFC SEC PVT. LTD.	CM BP-ID –IN472356 DP ID IN300484 CLIENT ID-16509427	MSEIL NSDL POOL A/C.
LFC SEC PVT. LTD.	1204520000068252	MSEIL CDSL POOL
LFC SEC PVT. LTD.	1204520000068419	MSEIL F&O POOL A/C.
LFC SEC PVT. LTD.	1100002800001363	MSEIL EPN A/C
LFC SEC PVT. LTD.	1100001000015571	BSE EPN A/C
LFC SEC PVT. LTD.	1100001100016951	NSE EPN A/C
LFC SEC PVT. LTD.	1204520000066863	NSE-SLB POOL A/C- CDSL
LFC SEC PVT. LTD.	1204520000001222	BSE CLIENT MARGIN
LFC SEC PVT. LTD.	1204520000001412	BSE CLIENT BENIFICIARY
LFC SEC PVT. LTD.	1204520000102250	NSE CLIENT BENIFICIARY
SHCIL	CM BP-ID –IN560548 DP-ID IN301330 CLID 17994489	NSE POOL NSDL
Axis Bank	CM-BP-ID IN630256 DP-ID IN300484 CLID 12185287	BSE POOL NSDL
LFC SEC PVT. LTD.	CM-ID-3025	BSE-CAPITAL MARKET
LFC SEC PVT. LTD.	CM-ID-09228	NSE-CAPITAL MARKET
LFC SEC PVT. LTD.	1204520000102231	NCDX COMM MARGIN
LFC SEC PVT. LTD.	1204520000006575	ICEX COMM MARGIN

## VOLUNTARY

6. The particulars of dematerialized securities account(s) mentioned in Annexure – I and Annexure – II may be added/appended/altered according to the future business requirements and with the mutual written consent.
7. The Broker/Attorney shall return to the Client(s), the securities that may have been received by the Broker/Attorney erroneously or those securities that the stock broker was not entitled to receive from the Client(s);
8. The Broker/Attorney is authorised to send consolidated summary of scrip-wise buy and sell positions taken with average rates to the Client(s) by way of SMS/email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI/Exchanges from time to time.
9. I/We, the Clients(s) ratify the instructions given by the aforesaid Broker/Attorney to the depository participant named herein and in the manner specified herein.
10. I/We, the Client(s) further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked in writing by me/us and that the said revocation shall be effective from the date on which the revocation notice in writing is received by the said Broker/Attorney at its office address mentioned hereinabove. However, such revocation shall not be applicable for any outstanding settlement obligation arising out of the trades carried out by me/us prior to receiving request by Broker/Attorney for revocation of POA.

SIGNED AND DELIVERED on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_ at \_\_\_\_\_.

By the withinnamed Client(s)

		
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Signature

Signature

Signature

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Name

Name

Name


**Coparceners**

Name

Signature

1. \_\_\_\_\_,
2. \_\_\_\_\_,
3. \_\_\_\_\_,
4. \_\_\_\_\_,
5. \_\_\_\_\_,

In the presence of Witness


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Signature

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Name

For, L.F.C. Securities Pvt. Ltd.


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Director/Authorised Signatory

## A large, faint, light gray watermark of a stylized flower or leaf design, centered on the page. The design is symmetrical and features a central vertical axis with rounded, petal-like shapes extending outwards and upwards. The watermark is positioned in the center of the page, overlapping the horizontal lines.

## A large, faint, light gray watermark of a stylized flower or leaf design, centered on the page. The design is symmetrical and features a central vertical axis with rounded, petal-like shapes extending outwards and upwards. The watermark is positioned in the center of the page, overlapping the horizontal lines.



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