



Registration Kit Equity, F&O and DP (CDSL)

Application Number		Date
Name		
UCC		

Money Spell Private Limited
Member : BSE | NSE | CDSL | AMFI

Regd.off. : No. 44, Prakasam Street, T. Nagar, Chennai - 600 017, INDIA. Tel: +91(44) 4204 2222

COMPANY PROFILE

Name of stock broker/trading member/clearing member /Depository Participant	: Money Spell Private Limited
SEBI Registration No. and Date	: INZ000159030 - 04.01.2018
CDSL SEBI Registration No. and Date	: IN-DP-373-2018 - 21.05.2018
BSE Member Code	: 6672 - 13.07.2017
NSE Member Code	: 90147 - 28.06.2018
CDSL Member Code	: 12050400 - 16.05.2018
AMFI Member Code	: 144989 - 07.05.2018
EQUITY Clearing Member Code	: M52047 - 17.07.2018
F&O Clearing Member	: IL&FS Securities Services Ltd - 30.07.2018

Registered Office Address:

No.44, Prakasam Street, T.Nagar, Chennai - 600017
Ph: 044 - 42042222
Website: www.moneyspellindia.com

Compliance Officer Name, Phone No. & Email id:

R.Srinivasan - 044 - 42042222 [Ext.352],
ig@moneyspellindia.com

CEO Name, Phone No. & Email id:

M.Muruganandam - 044 - 42042222 [Ext.350],
ceo@moneyspellindia.com

KYC / DP Phone No. & Email id:

044 - 42042222 [Ext.314],
forms@moneyspellindia.com

For any grievance/dispute please contact Money Spell Private Limited at the above address or email id ig@moneyspellindia.com; Phone No.044-42042222

In case not satisfied with the response, please contact the concerned exchange(s) / depository :

NSE at: ignse@nse.co.in; Phone No.+91-22-26598190;
BSE at: is@bseindia.com; Phone No.+91-22-22728138;
CDSL at: complaints@cdslindia.com; Phone No.1800-200-5533

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Note: It is mandatory to mention the clients E-mail ID, Mobile No, income range, Occupation details, introducer details & also send the KRA, CKYC, FATCA Declaration form along with this KYC.															

ACCOUNT OPENING KIT

INSTRUCTION TO THE APPLICANT FOR TRADING ACCOUNT OPENING

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/PIC 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.

INSTRUCTION TO THE APPLICANTS (BO's) FOR DEMAT ACCOUNT OPENING

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 /Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate/Notary Public/Special Executive Magistrate/Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence/queries shall be addressed to the first/ sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

CHECK LIST

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

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

B. Proof of Address (POA): - List of documents admissible as Proof of Address:

(*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook-- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.
9. For minor A/c both minor and guardian address proof required.

C 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, FVCs, 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.

D 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.

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

ADDITIONAL KYC FORM FOR OPENING TRADING AND DEMAT ACCOUNT (for Individual & Non-individual)

<input type="checkbox"/> Demat Account	<input type="checkbox"/> Individual Account	<input type="checkbox"/> Non-Individual Account
<input type="checkbox"/> Trading Account	<input type="checkbox"/> Individual Account	<input type="checkbox"/> Non-Individual Account

(To Be Filled By The Depository Participant)

Application No.		DP Internal Reference No.	
Date		Client Trading Code	
DP ID		Client ID	

(To be filled by the Applicant in BLOCK LETTERS in English)

I/We request you to open a Demat and Trading Account in My/Our name as per the following details :

Holders Details

Sole / First Holder's Name	Name		PAN _____ UID _____
	Search Name (For Non-Individual only)		PAN _____ UID _____
Second Holder's Name (For Demat Account)			PAN _____ UID _____
Third Holder's Name (For Demat Account)			PAN _____ UID _____

Name *	 _____

STATUS FOR INDIVIDUAL DEMAT A/C

Type of Account (Please tick whichever is applicable)

Status (For Individual)	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	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others (specify) _____

STATUS FOR NON-INDIVIDUAL DEMAT A/C

Type of Account (Please tick whichever is applicable)

Status	Sub- Status
<input type="checkbox"/> Body Corporate <input type="checkbox"/> CM <input type="checkbox"/> Banks <input type="checkbox"/> FI <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Clearing House <input type="checkbox"/> Trust <input type="checkbox"/> Other (Specify) _____ <input type="checkbox"/> OCB <input type="checkbox"/> FII	To be filled by the DP
SEBI Registration No. (If Applicable)	SEBI Registration date
RBI Registration No. (If Applicable)	RBI Approval date
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other (Specify) _____

Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange			
Name of CC/CH			
Clearing Member Id		Trading member ID	

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	
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 be 'No')	<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	
I/We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I/We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical & Electronic (Tick the applicable box. If not marked the default option would be in Physical)		
I / We wish to receive dividend / interest directly in to my bank account as given above 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

SMS Alert Facility and / or TRUST facility

SMS Alert Facility Refer to Terms & Conditions given as Annexure-2.4	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.).									
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure-2.6	I wish to avail the TRUST facility the mobile number registered for SMS Alert Facility. I have read and understood the Terms & Conditions prescribed by CDSL for the same. <input type="checkbox"/> YES <input type="checkbox"/> NO I wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <thead> <tr> <th style="width: 33%;">Stock Exchange Name / ID</th> <th style="width: 33%;">Clearing Member Name</th> <th style="width: 33%;">Clearing Member ID (optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (optional)						
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (optional)								
Easi	To/We register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.									

Other Details Gross Annual Income Details	Income Range per annum : <input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> More than Rs. 25,00,000
	Net worth as on (Date) _____ RS _____ [Net worth should not be older than 1 year]
Occupation	<input type="checkbox"/> Private /Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____
Please tick, if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP) <input type="checkbox"/> None
Any Other information	_____

NOMINATION DETAILS

Nomination Registration No.	Dated

I/We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

I/We do not wish to nominate any one for this demat account.

I/We nominate the following persons who is/are entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of my / our death.

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

Note : Residual securities : in case of multiple nominees, please choose any one nominee who will credited with residual securities remaining after distribution of securities as per percentage of allocation. If your fail to choose one such nominee , then the first nominee will be marked as nominee entitled for residential share, If any.




*** Marked as mandatory field**

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

Note: Two witness shall attest signature(s) I thumb impression(s)

Details of the Witness		
	First Witness	Second Witness
Name of witness		
Address of witness		
Signature of witness		

(Signatures should be preferably in black ink).

	First/Sole Holder / Authorised Signatory / Guardian (in case of Minor)	Second Holder / Authorised Signatory	Third Holder / Authorised Signatory
Name			
Signature			
Designation (for non individual only)			

OTHER DETAILS

A. BANK ACCOUNT DETAILS (First Bank A/c. is Default Bank A/c. through which transaction will generally be routed)





Bank Name	Branch Name & Address	Type of A/c	Bank A/c No.	MICR Code.	IFSC Code

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued,(or)
- (ii) Photocopy of the bank Statement having name and address of the BO
- (iii) Photocopy of the Passbook having name address of the BO.(Or),
- (iv) Letter from the bank.

*In case of option (ii),(iii) and (iv) above ,MICR code of the branch should be present / mentioned on the document.

B. TRADING PREFERENCES

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

Exchange	Segment			
	Cash	FO	Currency	Mutual Fund
BSE				
NSE				

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter have to be submitted by client to the stock broker..

C. DEPOSITORY ACCOUNT(S) DETAILS

(First Depository A/c. is Default Depository A/c.)

Particulars	(1)	(2)
DP Name		
Depository Name		
Beneficiary Name		
DP ID		
BO ID		

D. 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:

E. Dealing Through Sub-Brokers and Other Stock Brokers

● If client is dealing through the sub-broker, provide the following details:

Sub-broker's Name : _____ SEBI Registration number : _____

Registered Office address: _____

Ph. No. _____ Fax No. _____ Website:www. _____

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


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


F. Additional Details

● Whether you wish to receive Physical contract note Electronic Contract Note(ECN)

Specify your Email id, ifECN _____

Signature of Client: 

● Whether you wish to avail of the facility of Internet Trading I wireless technology Yes No

Signature of Client: 

● Number of years of Investment/Trading Experience _____

● In case of non-individuals, name, designation, PAN, UID, signature, residential, address and photographs of persons authorised to deal in securities on behalf of company/firm/others: _____

● Any other information: _____

G. Introducer Details (Optional)

Name of Introducer: _____	
Address of the Introducer: _____	
Status of the Introducer:	<input type="checkbox"/> Sub Broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client
	<input type="checkbox"/> Others, Please Specify _____
Phone No.: _____	Signature of Introducer: _____

DECLARATION

1. 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.
2. 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.
3. 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.
4. 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.
5. I would like to receive following standard document in Physical Digital mode through on my e-mail id mentioned in the form
For DP → ■ Rights & Obligation for Bo's Depository participant.
For Trading → ■ Rights & Obligation ■ Risk disclosure documents ■ Do's & Don'ts.

_____	_____	_____
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Signature of Client/ (all) Authorized Signatory (ies)

Place: _____

Date : _____

OFFICE USE ONLY

UCC Code allotted to the Client _____

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee Autho. Person/ Sub Broker			
Employee Code Autho. Person/ Sub Broker			
Designation of the employee			
Date			
Signature			

I/We undertake that we have made the client aware of Policy and Procedures', tariff sheet and all the nonmandatory 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 onmandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and bligations' and RDD would be made available on my/our website, if any, for the information of the clients.

For Money Spell Private Lintied

Date : _____

Seal / Stamp of stock broker

Director/ Authorised Signatory

INSTRUCTION CHECK LIST

1. Additional documents in case of trading in derivatives segments- illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income- Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

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 nonresident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, • Magistrate, Judge, Local Banker, Indian Embassy I 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.

MANDATORY

POLICIES AND PROCEDURES

Pursuant to SEBI's Circular MIRSD/SE/Cir-19/2009 dated December 3, 2009 and that of the Stock Exchanges' from time to time the following policies would be binding on the clients.

A. Refusal of orders for "Penny Stocks"

MSPL shall have the absolute discretion to accept, refuse or partially accept any buy or sell order for execution from a client in respect of penny stocks, illiquid stocks, stocks having low liquidity, illiquid "options", far month "options", writing of "options", stocks in S, Z and B2 category and any other contracts which as per the perception of MSPL are extremely volatile or subject to Market manipulation. MSPL may permit restrictive acceptance of orders in such script/contracts in controlled environments like orders received from clients being forwarded by branches to a centralized desk at HO instead of allowing trading in such script/Contracts at branch level or through Online trading platform. MSPL shall not be responsible for delay in execution of such orders and consequential opportunity loss or financial loss to the client. MSPL may cancel orders in such script received from clients before execution or after partial execution without assigning any reasons thereof. MSPL may take appropriate declarations from the clients before accepting such orders. MSPL shall have the prerogative to place such restrictions, notwithstanding the fact that the client has adequate credit balance or margin available in his account and/or the client had previously purchased or sold such securities / contracts through MSPL itself.

B. Setting up client's exposure limit

MSPL may provide an exposure limit for intraday and delivery based purchases by a client which would be a multiple (varying between one to four times) of the clear ledger balance in the account of the client plus value of paid up collaterals computed after appropriate haircut. The value of the "multiple" and the "haircut" shall be decided by MSPL based on Market Volatility and quality of collaterals. Sell Limit: MSPL may provide a sell limit to the client equivalent to the value of securities held by the client in his POA enabled Demat account plus the collateral held by MSPL on behalf of the client in its Beneficiary and Margin Pool account after making appropriate adjustments for the unsettled delivery positions of the client. Exposure for Derivatives: MSPL may provide exposure for Derivatives Segment based on availability of initial margin (SPAN + Exposure) in the form of cash and approved securities (with appropriate hair cut). Client-wise differential Limits: MSPL shall have the prerogative to allow differential purchase limits and sell limits varying from client to client, depending upon credit worthiness, integrity and past conduct of each client.

C. Applicable brokerage rate

Brokerage shall be applied as per the rates agreed upon with the client in the KYC at the time of registration of the client subsequently through a written agreement between the client and MSPL. The rate of Brokerage shall not exceed the maximum brokerage permissible under Exchange bye-laws. The slab rates of brokerage fixed by MSPL are function of the quality and cost of services provided to the client and the volume and revenue expected from an account. It shall be reviewed by the MSPL from time to time and may be increased with prospective effect at a notice of 15 days sent to the e-mail address or postal address of the client registered with MSPL. The brokerage shall however be exclusive of DP Annual maintenance charges, DP transaction charges / Pledge / De-pledge / Demat / Remat charges, DP Inter settlement charges, Delayed Payment charges, Penalties levied by Exchange, Research advisory charges, Courier charges, Bank charges towards the cheques received unpaid. DP, Bank and other processing charges towards periodic settlement of Funds/Securities on periodic basis, Statutory charges payable to Exchange/SEBI/Govt. Authorities etc, SEBI/Exchange/Clearing Member Turnover charges, Other out of pocket and service related charges.

D. Imposition of penalty / delayed payment charges by either party, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws):

Delayed payment charges / Charges on Exposure against collaterals Pursuant to Exchange Bye -laws, the Member broker is currently required to make pay -in of funds to the Exchange by T+2 morning and arrange delivery of securities to the Exchange latest by T+2 morning. Further Member broker is also required to maintain adequate upfront margins with the Exchange to avail exposure for trading. The Exchanges have also defined the ratios in which the cash and collaterals are to be deposited and maintained by the Member broker. In addition the Exchange requires the member broker to deposit some

of the margins like MTM, in Cash only. In order to manage its working capital, MSPL requires fullest cooperation of the clients in meeting their respective obligation towards payin and margins. MSPL is therefore authorized by the client to charge a delayed payment penalty, not exceeding 2% per month, on account of delays/failure by the client in meeting the payin obligations on the scheduled date and also where Penalties levied by Exchanges: Further Exchanges levy various penalties on the member brokers on auction resulting from short deliveries, non adherence to client-wise exposure limits, client-wise shortfall in Derivatives Segment Margin and for other reasons which may be defined by the Exchange from time to time. MSPL is therefore authorized by the client to pass on any penalty imposed by the Exchange/SEBI and or any other regulatory authority to the client, which arises on account of the client. Interest Free Deposits MSPL provides exposure against the upfront margin received in the form of cash / collateral from the client and the client also has the prerogative to demand withdrawal of cash and collaterals at his discretion, MSPL shall not pay any interest or other benefit to the client for maintaining cash balances or depositing collateral margins with MSPL.

E. Right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non- payment of client's dues (Limit to be extent of settlement/margin related obligation)

MSPL shall have right to sell client's securities, both unpaid securities as well as collaterals deposited towards margins, or close out client's open positions, without giving notice to the client where there is a delay/failure of the client to meet the pay -in obligations and / or there is a failure of the client to bring additional margins to cover the increase in risk in the dynamic market conditions.

a. Unpaid Securities in Capital Market:

In case of unpaid obligation on T+3, MSPL may sell the unpaid/partially paid securities. In addition MSPL may sell the collaterals deposited by the client towards margins and/or paid securities purchased by the client in earlier settlements where the sale of proceeds of unpaid securities are inadequate to cover the pay-in obligations and/ where the unpaid securities appear to be comparatively illiquid and cannot be sold at reasonable rates to the extent required, MSPL may follow the LIFO method for liquidation of securities but it may not bind on it to follow this method in all cases.

b. The margin shortfall in Derivatives:

i. Positions of the client may be closed out to the extent of margin shortfall on the T+1 basis, ii. While computing margin shortfall, value of unapproved securities shall not be considered. Hi. As per the current Exchange requirements, the Member Broker is required to maintain a 50:50 ratio between cash and collaterals margin deposited with the Exchange. MSPL Shall therefore have the prerogative to insist for at least 50% of margin in cash and may not consider the value of securities over and above the cash component for the purpose of calculating margins shortfall and close the Derivatives position where it finds the deviation. However, sales made in capital market segment are not considered while closing Derivatives positions on T+1 basis due to margin shortfall.

c. Intra-day Positions:

MSPL shall have right to close out any intra-day positions taken by the client after a defined "Cut-off time (Presently 15 minutes before close of market).

d.General:

i. While selling the securities/ closing the clients positions, MSPL may take into account the sales made by the client, positions closed by the client or collections received from the client till a cut-off time (presently 12.45pm).ii . While selling the securities/ closing the clients positions, MSPL may not take into consideration Cheques/Bank drafts/Pay orders deposited by the client with MSPL until clear proceeds of such instruments are received by MSPL in its bank account. iii. MSPL shall have the right to sell client's securities or close out client's open positions but it shall not be under any obligations to undertake this exercise compulsorily. MSPL shall therefore not be under any obligation to compensate/ or provide reasons of any delay or omission on its part to sell client's securities or close open positions of the client, iv. Pursuant to SEBI circular no. CIR/DNPD/7/2011 dated August 10, 2011 and effective from 1st September, 2011, Stock Exchanges shall levy penalty specified hereunder on trading members for short-collection/non-collection of margins from clients in Equity and Currency Derivatives segments.

F. Shortages in obligations arising out of internal netting of trades

MSPL shall have the right to adopt a policy of its choice for internal auctions arising out of internal netting of trades and charge to defaulter seller and compensate the impacted purchaser as per the policy. Rate of penalty will be decided by member as applicable from time to time and published on our website or otherwise. In case of default of securities pay-in by the client and the shortage is vis-a vis the Exchange, auction value of the respective exchanges and all levies, as applicable, shall be recovered from the defaulting client.

G. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of the client

- a. All Markets :Where client is not having adequate margins as per conditions defined in Risk Management policy under Section 2.
- b. Capital Market:
- i. Where the client has not been able to meet his pay -in obligation in cash by the schedule date of pay-in irrespective of the value of collaterals available with MSPL.
 - ii. Clear proceeds of the cheque deposited by the client to meet the pay - in obligations has not yet been received by MSPL.
 - iii. Client is trading in "illiquid" scrip and volumes in his account exceed internal cut off limit fixed by MSPL.
 - iv. MSPL exposure at "house level" in a specific scrip / contract exceeds the internal limits fixed by MSPL.
- c. Derivatives Segment: i. Where the client has not met Market to Market loss in cash, ii .Where the "open" positions in a contract exceed or are close to market wide cut -off limits, iii. Where the client's position is close to client-wise permissible "open" positions.
- d. INTRA-DAY: Clients will not be able to place intra-day orders after a cut-off time fixed by MSPL (Presently 15 minutes prior to close of market). Event Based: Where based on happening of an event, MSPL has the risk perception that further trading in the securities/ contracts may not be interest of its clients and/or the market.

H. Temporarily suspending or closing a client's account based on the client's request:

MSPL may carry a periodic review of the client accounts and may suspend the accounts from Trading in the following circumstances :Where the client is inactive for more than 3 months, Where the client has not cleared the naked or uncovered debits which are more than 7 days' old, Where the account is under investigation by any regulatory body, Based on the recommendations made by the Branch Manager due to excessive speculations, un-cleared balances, Physical contract notes are received back undelivered due to reasons like "no such person", "addressee" left, refusal to accept mails, POD's signed by the third persons, signature mismatch on POD's or other reasons which may create suspicion, Out of the open positions, DCN failed (Bounced email) on more than 3 instances until client submits and registers new email id. Non delivery of the Statement of Account sent on periodic basis, Non updation of communications details viz., email id, Mobile no, Land line details or it is found to be belonging to a third person, Client lodges a complaint either directly with MSPL or through Exchange relating alleged Unauthorized Trades being executed in the account, On notices received from statutory, Government or Local authorities and Income Tax, Service Tax, a Judicial or a Quasi Judicial authority, etc, Where a client is reported to or known to have expired, MSPL may also suspend the account based on the written request received from the client. For further details, please refer to our website www.moneyspellindia.com.

I. Deregistering a Client

Stock Broker may, at its absolute discretion, decide to deregister a particular client. The illustrative circumstances under which Stock Broker may deregister a client are given below:

- SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from Participating in the securities market.
- Such client has been indicted by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guideline or circular governing securities market.
- Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
- Such client's name appears in the UN list of prohibited entities or in the SEBI debarred list.
- Such client's account has been lying dormant for a long time or the client is not traceable
- Such client has been declared insolvent or any legal proceedings to declare him / her as insolvent have been initiated.
- Such client has been irregular in fulfilling obligations towards margin or settlement dues.
- Such client has a tainted reputation and any business relationship with such clients is likely to tarnish the reputation of Stock Broker or may act as detriment to Stock Broker's prospects.

J. Policy for inactive /dormant clients account:•

- Inactive client means client who is inactive during last 6 months immediately preceding the end of the previous month.
- A list of inactive clients shall be prepared from the back office software on the last day of every month and shall be submitted to the concerned department after confirmation with the management. The management will approve a final list of inactive clients.
- A copy of the list is also forwarded to dealers who operate our BOLT or NEAT terminals.
- The concerned department shall mark the client status as "inactive" or "dormant" in various front office software of CTCL And IML and back office accounting software.
- After inactive marking, if any orders are received, the dealer shall take reasonable steps to identify the identity of the client and to ensure that the orders are received from the same client. The dealer shall use various techniques like call back, asking personal detail questions, last trade date, outstanding positions etc to confirm the identity of the caller. They may use any other technique which is reasonable. In case of a doubt the case shall be referred to the management or concerned Sub- Broker or introducer.
- Dormant client has to update their KYC details at the time of fresh order, If the client wants to make the account "ACTIVE" after 6 continuous months or after providing the required documents supporting the financial status, the client needs to submit a request to reactivate his/her account. In case there is any change in the information such as; address, mobile number, email id, bank/demat account, financial disclosure provided in KYC at the time of registration as client, the same has to be submitted along with the request. After proper verification of the updated/revised details and approval from the compliance officer / concerned department in-charge of registration of clients, the account can be made "ACTIVE" and transaction can take place.

Signature : _____

MANDATORY

TARIFF STRUCTURE

TRADING ACCOUNT

Cash Segment			Futures & Options			
	MIN	%		MIN	%	
Intraday			<input type="checkbox"/> One Side <input type="checkbox"/> Both Side	Future		<input type="checkbox"/> One Side <input type="checkbox"/> Both Side
Delivery				Option		/- per lot <input type="checkbox"/> One Side <input type="checkbox"/> Both Side

DEMAT ACCOUNT

Basic Service Demat Account(BSDA) scheme.

I/We wish to avail BSDA scheme for the new account. *Please visit website 'www.moneyspellindia.com' for more details.

I/We do not wish to avail BSDA scheme for the new account.

PARAMETER	<input type="checkbox"/> A	<input type="checkbox"/> B	<input type="checkbox"/> C
ACCOUNT OPENING	NIL	NIL	NIL
ACCOUNT MAINTENANCE Individuals	AMC for BSDA for holding < Rs 50000/- , AMC - Rs 100/- For holding above Rs 50001/- AMC Rs 400/-	AMC for BSDA for holding < Rs 50000/- , AMC - Rs 100/- For holding above Rs 50001/- AMC Rs 600/-	AMC for BSDA for holding < Rs 50000/- , AMC - Rs 100/- For holding above Rs 50001/- AMC Rs 1000/-
ACCOUNT MAINTENANCE Corporates	AMC Rs. 1500/-	AMC Rs. 1500/-	AMC Rs. 1500/-
Transaction Charges: Only Deliveries. Market & Off-Market	0.03% (min Rs. 25/- per scrip) which ever is higher	0.02% (min Rs. 20/- per scrip) which ever is higher	0.015% (min Rs. 16/- per scrip) which ever is higher
All types of Pledge/Lend/Borrow transaction	Creation – Rs.50/- Cancellation – Rs.50/- Invocation- Rs.50/-	Creation – Rs.50/- Cancellation – Rs.50/- Invocation- Rs.50/-	Creation – Rs.50/- Cancellation – Rs.50/- Invocation- Rs.50/-
Conversion Charges Dematerialisation Rematerialisation	Rs.5 /- per certificate.(minimum Rs. 50/-)	Rs.5 /- per certificate.(minimum Rs. 50/-)	Rs.5 /- per certificate.(minimum Rs. 50/-)
Demat & Remat Rejection	Rs. 40/- per Rejection	Rs. 40/- per Rejection	Rs. 40/- per Rejection
ACCOUNT CLOSING	NIL	NIL	NIL
Instruction Failure -	Rs. 25/-	Rs. 25/-	Rs. 25/-
Additional Booklet	Over & Above two per quarter Rs. 50/- For BSDA additional	NIL	NIL
Power of Attorney Processing Charges	Rs. 150/-	Rs. 150/-	Rs. 150/-

- Above rates are based on existing CDSL/SEBI Charges and may be revised upon revision by CDSL/SEBI.
- AMC charges are inclusive of Other Charges and GST which is currently 18% and other levies by government bodies / Statutory authority from time to time.
- Value of transaction will be in accordance with the rates provided by CDSL...:-
- KRA charge Rs. 50/- to be taken at the time of account opening.
- Revision of Charges will be intimated through our web site, circulars sent by ordinary post/e-mail.
- Cheque dishonour charges Rs. 100/-(Minimum)/or actual, Plus GST.
- Interest for late payment shall be charged @ 1.5% per month.

I/We do not wish to opt for BSDA facility.

I / We hereby authorise MONEY SPELL PRIVATE LIMITED to debit my Client Code

 _____

Sole/First Holder

 _____

Second Holder

 _____

Third Holder

VOLUNTARY

TERMS & CONDITION-CUM-REGISTRATION/ MODIFICATION FORM FOR RECEIVING SMS ALERT FROM CDSL

SMS Alerts will be sent by CDSL to BOs for all debits and for all credit as well

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 essor 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 & 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 account holders 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 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 period.
2. The BO acknowledge 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 acknowledge 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 acknowledge 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, e-mail 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 acknowledge on receiving SMS alerts. The BO send an email to CDSL at 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
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 change 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 purpose 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	5	0	4	0	0	
---	---	---	---	---	---	---	---	--

(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole / First Holder's Name : _____
Second Holders Name : _____
Third Holder's Name : _____

Mobile Number on which message 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 : _____

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

Signatures

_____ Sole / First Holder	_____ Second Holder	_____ Third Holder
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Place : _____ Date: _____

VOLUNTARY

SMS AND E-MAIL ALERTS TO INVESTORS BY STOCK EXCHANGES

(Ref: SEBI circular No. CIR/MIRSD/15/2011 dated August 02, 2011)

I request you to enroll me for the following facility offered by the Stock Exchanges pursuant to above referred SEBI circular

SMS Facility on Mobile No provided in my KYC

1. Mobile No Belongs to Self Family Number

2.	In case of family member please specify the relationship: <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/> Spouse
----	---

3.	PAN No. of the family Member whose Mobile No is provided above: _____
----	---

E-mail Facility on email id provided in my KYC

1. E-mail ID Belongs to Self Family Number

2.	In case of family member please specify the relationship: <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/> Spouse
----	---

3.	PAN No. of the family Member whose Email ID is provided above: _____
----	--

Note:

1. Individual Client is invariably required to provide his own Mobile No. except in case of family members where the following relationship exist Dependent Child OR Dependent Parent OR Spouse.
2. Non Individual client shall provide the Mobile/ Email details of the person authorized to receive such communication and as provided in the KYC.
3. Client may please note that Mobile No. of Trading Member (TM)/ employees of TM/ Sub broker/ Authorised person are not permitted for receiving the SMS/ Email communication from exchanges.
4. Client may note that the circular is available for download on the exchange's website.



Place : _____

Date: _____

VOLUNTARY

RUNNING ACCOUNT AUTHORISATION FOR ALL EXCHANGES

To,
Money Spell Private Limited
No.44, Prakasam Street,
T.Nagar, Chennai - 600017

With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds and securities on my/our behalf without settling the account on settlement of each transaction.

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds and securities on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain all amounts and securities receivable by me/us until specifically requested by me/us to be settled within one working day of request, if the same is lying with Money Spell Private Limited. & within 3 working days from the request if the same is lying with clearing member/clearing corporation.
2. I/we understand and agree that no interest will be payable to me/us on the funds or securities so retained with you.
3. I/we may be trading in derivatives segments and cash segment of various Exchanges under Money Spell Private Limited. or any of its sister concerns/group companies and hence have various accounts with you. In this regard I/we hereby authorize Money Spell Private Limited. to act at its discretion of adjusting any credit balance under my/ our various accounts against the debit in any account across segments/Exchange, under Money Spell Private Limited. Or any of its sister concerns/group companies, without taking any further instruction from me/us.
4. Excess margins deposited towards one exchange / segment may be adjusted, on a running basis towards margin requirement / debit balance in same / other exchange / segment under Money Spell Private Limited. or any of its sister concerns/group companies where I/we have the client account.
5. I/we also confirm that the securities lying in my withhold A/c should be considered as margin deposit/collateral.
6. I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my / our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
7. I/we hereby authorize you to pledge my / our securities deposited as margin or withheld by you as permitted in the running account and to deposit my / our funds deposited as margin to Exchanges / Clearing Corporations towards margin.
8. I/we authorise Money Spell Private Limited. to hold shares purchased by me / us in their beneficiary / pool account as collateral / margin against my / our future trades / obligations in same / other exchange / segment under Money Spell Private Limited. or any of its sister concerns/group companies.
9. I/we may revoke the authorisation at any time by giving a written notice.
10. I/we also agree that the actual settlement of fund and securities shall be done by us, at least once in a calendar quarter or month and the statement of account for the same will be provided to me by Money Spell Private Limited.
11. I/we agree that fund given towards collaterals/margins in form of bank guarantee (BG) / Fixed Deposit Receipts
12. I/we agree that (a) in respect of derivatives market transactions, apart from margin liability as on the date of settlement, trading member may retain additional margins (maximum upto 125% of margin requirement on the day of settlement) to take care of any margin obligation arising in next 5 days, (b) in respect of cash market transactions, Trading Member may retain entire pay-in obligation of funds & securities due from clients as on the date of settlement.
13. I/we agree/understand that there shall be no inter-client adjustment for the purpose of settlement of the running account.
14. I/we shall bring any dispute arising from the statement of account or settlement so made to the notice of the Trading Member preferably within 7 working days from the date of receipt of funds/securities or statement as the case may be.
15. Member may retain an amount upto Rs.10000/- (net amount across segments & across exchanges) after taking written consent of the client. The threshold limit of Rs.10000/- on retention of amount shall not be applicable in case of clients who have not traded even once during the last month/quarter (circular No 24849 dated 29.10.2013)

Settlement Preferences

Monthly

Quarterly

Yours faithfully,

Client Signature : _____

Name of Client : _____

Client Code : _____

VOLUNTARY

AUTHORITY TO DEBIT THE DEMAT ACCOUNT OPERATING CHARGES.

To,

Beneficiary Client ID _____

Trading Account code _____

This is to inform that...

- a. I/We have a beneficiary account with you with client ID as mentioned above.
- b. Further I/We have a trading account with you (trading code as mentioned above) for investment and trading purpose.
- c. I/We find it extremely inconvenient to give cheques against your depository bills.

With respect to the above mentioned subject and consideration, I/We hereby authorize you to debit my/our trading account maintained with you for the debit charges payable to you for providing depository services. Any such sum debited to my/our account shall be binding on me/us.

Thanking you

Yours Faithfully

Name of the client _____

 _____

Place : _____

Date: _____

VOLUNTARY

MANDATE FOR RECEIVING DOCUMENTS THROUGH ECN

To,

Dear Sir,

Sub: Mandate to issue contract notes in digital format & other communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.) through an E-Mail.

I/ We hereby agree and consent to accept the contract notes for transactions carried on by us/me for all segments on BSE, NSE & MCX-SX with you, in digital form. Digital contracts issued by you as per the terms and conditions specified herein shall be binding on me/us. The mandate is subject to terms and conditions mentioned herein below.

Terms and conditions for issuance of contract notes in digital form between us :-

1. Digital Contract Notes in the format as may be prescribed by the Exchange from time to time will be mailed to me/us on the E-mail address provided to you.
You can also send me/us my/our margin statement in digital form with contract notes.
2. I/we undertake to check the contract notes and bring the discrepancies to your notice.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on me/us.
4. Discrepancies, if any, should be sent on E-mail:
5. I/we can view the digital contract notes using the username & password through the web-site apart from the contract notes sent to me/us through mail.
6. The Digital contract notes will be archived at an interval of 1 year. If I/we intends to view the digital contract notes for a period prior to 1 year I/we may request for the same in writing.
7. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI/ Exchanges from time to time.
8. It will be my/our responsibility to regularly check the mailbox and keeping the storage space for new email messages.
9. Any changes in the terms and conditions shall be intimated from time to time.
10. Non-receipt of bounced mail notification by you shall amount to delivery of contract note at my/our e-mail ID.
11. Digital Contract Notes should also be available at your Web-site **www.moneyspellindia.com**
12. Any change in the E-mail ID shall be communicated by us/ me through a physical letter.

Other Communication

You can send me various documents like Daily margin statement, Statement of funds & securities, Account confirmations, bills, notices etc. to my/our E-mail ID mentioned in this letter.

This instruction to issue digital contract notes & other communications are applicable with immediate effect. This instruction is several to all parties mentioned above

My/Our E-mail ID _____

My/Our Alternative E-mail _____ If any

Yours faithfully,

 _____

Place : _____

Client Code: _____

Date: _____

POWER OF ATTORNEY [DEMAT TRANSFER]**RS.100**

To all to whom these presents shall come I/ we owner/s), _____ (name of the beneficial owner/s),
 residing at/ having its registered office at _____ send greetings.

Where we hold beneficial owner account number 12050400 _____ with Central Depository Services (India) Limited (CDSL),
 through -M/s. Money Spell Private Limited (Depository Participant) registered with Securities and Exchange Board of India (SEBI) with IN-DP-CDSL-373-2018.

And Whereas I/ we am/ are desirous to buy and sell securities through -M/s. Money Spell Private Limited, who is a stock broker registered with SEBI and
 member of recognized stock exchange/s with SEBI Registration No. INZ000159030.

And Whereas I/ we am/ are desirous of appointing -M/s. Money Spell Private Limited, stock broker, as my/our constituted attorney to operate my/our
 beneficial owner account on my/our behalf for a limited purpose in the manner hereinafter. appearing and subject to conditions as provided herein.

Now know you all and these presents witness that I/ we do hereby nominate, constitute and appoint -M/s. Money Spell Private Limited (hereinafter referred to
 as "the stock broker") as my true and lawful attorney and authorise it to perform the following functions on my behalf:

- I. to transfer securities held in my/our aforementioned beneficial owner account(s) or any other account informed by me in writing to the stock broker from
 time to time to the demat accounts of the stock broker maintained for the purpose of settlement of trades and margin obligations arising out of trades
 executed by me/us on any recognized stock exchange through the stock broker including demat account nos. 11000011 00020449 (NSE Early Pay-in
 account with CDSL) or 12050400 00027410 or 12050400 00027425 (BSE CM Pool Account with CDSL) or 12050400 00027993 (NSE CM Pool
 Account with CDSL) or 11000010 00023973 (BSE early pay in Account with CDSL) or 12050400 00027431, 12050400 00028000 (Debit accounts)
 However, the said power will be restricted to only transfer of securities to the Clearing Member ID allotted to the stock broker by any existing or future
 exchange that the stock broker has joined/ will join as a member or to any demat accounts linked to the said Clearing Member ID provided that I/we
 have executed a Client Member Agreement with the stock
 broker for such exchanges.
- II. to pledge the securities in favor of the stock broker for the limited purpose of meeting my/our margin requirements in connection with the trades
 executed by me/us on any recognized stock exchange through the stock broker.
- III. to return to me/us, the securities or funds that may have been received by the stock broker erroneously or those securities or funds that the stock broker
 was not entitled to receive from me/us;
- IV. to send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SMS/ email on a daily basis,
 notwithstanding any other document to be disseminated as specified by SEBI from time to time.
- V. 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 oral/written/electronic instructions given by me/us to the stock broker.

I/We ratify the instructions given by the aforesaid stock broker to the depository participant named herein above in the manner specified herein.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in writing
 by me and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his office at No. 44
 Prakasam Street, T.Nagar, Chennai - 600 017.

SIGNED AND DELIVERED

IN THE PRESENCE OF

By the within named Beneficial Owner

1.

Signature (with seal if required)

2.

I Accept

For Money Spell Private Limited

VOLUNTARY CLIENT PROFILE

Expected Investment/ Trading Turnover on a monthly basis

- Up to Rs. 10 Lacs
 Rs. 10 Lacs to Rs. 50 Lacs
 More Than 50 Lacs

Average Size of Transaction

- Up to Rs. 50 Thousand
 Rs. 50 Thousand to Rs. 1 Lac
 More Than 1 Lac

Expected No. of Transaction on a monthly basis

- Up 50
 50 To 100
 More Than 100

Average annual income to be updated every year on the basis of information or documents to be obtained from clients

Financial Year

Annual Income

Additional Information :

a. Purpose of Opening the Account

- Investment
 Trading
 Arbitrage

b. Sources of Funds for trading/investment

- Salary
 Business
 Inherited I Gift
 Investment
 Professional Fees
 Savings
 Others (Pis. Specify). _____

Branch Year Sr. No.

For Office Use Only

Branch ID Account Type : Capital Market Depository Others

City:

Document Verification By :

Spot Visit By :

Payment Details :

Reference Name :

Agreement Type :

Category of Client : High Risk Medium Risk Low Risk

Sub Broker/ Sub Broker/ Authorised Person

Dealer/ Marketing Person :

Client name:

Brokerage Slab :

Head of the Branch :

Approving Authority/ Director :

Officer in-charge/Data entered by :

Client Code :
Family Code :

Confirmation Receipt of Executed Document

With reference to my/our registration as client with you, I/We hereby confirm that I/we have received copies of Know Your Client Form (KYC), Right and Obligation, Risk Disclosure Documents (RDD), Power of Attorney (POA), (If Any) ,Guidance Note & all other executed Mandatory and Voluntary Client Registration Documents.

Name :

Client Code No. :



Place :

Date:

----- Please Tear Here -----

ACKNOWLEDGEMENT RECEIPT

Application No.

Date :

We hereby acknowledge the receipt of the Account Opening Application Form:

Name of the Sole / First Holder	_____
Name Of the Second Joint Holder	_____
Name of the Third Joint Holder	_____

CENTRAL KYC REGISTRY/ KNOW YOUR CUSTOMER (KYC) APPLICATION FORM / INDIVIDUAL

For Official use only (To be filled by financial institution)	Application Type* <input type="checkbox"/> New <input type="checkbox"/> Update KYC Number <input style="width: 150px; height: 20px;" type="text"/> Account type* <input type="checkbox"/> Normal <input type="checkbox"/> Simplified (for low risk customers) <input type="checkbox"/> Small	Fields marked with "*" are mandatory fields (Mandatory for KYC update request)
--	--	---

1. PERSONAL DETAILS (Please fill the form in English and in BLOCK letters)

Name* (same as ID Proof) _____

Maiden Name (If any *) _____

Fathers / Spouse Name * _____

Mother Name * _____

Date of Birth * _____ **Marital Status*** Married Unmarried Others

Gender * M-Male F-Female T-Transgender **Citizenship*** IN-Indian Others

Residential Status * Resident Individual Non Resident Indian
 Foreign National Person of Indian Origin

Occupation Type * S-Service (Private Sector Public Sector Government Sector)
 O-Others (Professional Self Employed Retired Housewife Student)
 B-Business
 X- Not Categorised

2. CONTACT DETAILS (All communications will be sent on provided Mobile no./ Email-ID)

Mobile _____ Tel. (Off) _____

Tel. (Res) _____ Fax _____

Email ID _____

3. PROOF OF IDENTITY(POI)* (Certified copy of any one of the following Proof of Identity[Pol] needs to be submitted)

<input type="checkbox"/> A- PAN Card <input type="checkbox"/> C- Voter ID Card <input type="checkbox"/> E- Passport Number <input type="checkbox"/> F- Driving Licence <input type="checkbox"/> G- Others (Any document notified by central government) <input type="checkbox"/> H- Simplified Measures Account- Document Type code	<input type="checkbox"/> B - UID (Aadhaar) <input type="checkbox"/> NREGA Job Card Passport Expiry Date _____ Driving Licence Expiry Date _____ Identification Number _____ Identification Number _____
--	--

PROOF OF ADDRESS(POA)* Certified copy of any one of the Proof of Address (PoA) as per the list in check list needs to be submitted

4.1 CORRESPONDENCE / LOCAL ADDRESS DETAILS

Line1* _____

Line2 _____

Line3 _____ City / Town / Village* _____

District* _____ State _____ Pin /Post Code* _____

Country _____ Land Mark _____

4.2 PERMANENT / OVERSEAS ADDRESS DETAILS Certified copy of any one of the Proof of Address (PoA) as per the list in check list needs to be submitted

Address Type* Residential / Business Residential Business Registered Office Unspecified

Proof of Address* Passport Driving Licence UID (Aadhaar) Others _____
 Voter Identity Card NREGA Job Card Simplified Measures Account - Document Type code _____

Line1* _____

Line2 _____

Line3 _____ City / Town / Village* _____

District* _____ State _____ Pin /Post Code* _____

Country _____ Land Mark _____

4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* Same as Current / Permanent / Overseas Address details Same as Corresponding / Local Address details

Line1* _____
 Line2 _____
 Line3 _____ City / Town / Village* _____
 State _____ Country _____ Zip /Post Code* _____

5. RESIDENCE FOR TAX PURPOSES IN JURISDICTION(\$\$) OUTSIDE INDIA

(Additional Details Required*(Mandatory only if section 4.3 is ticked))

Country of Jurisdiction of Residence* _____ Country of Birth* _____ Place/City of Birth* _____
 Tax Identification Number or equivalent (If issued by jurisdiction)* _____

6. DETAILS OF RELATED PERSON

(In case of additional related persons, please fill 'Annexure B1')

 Addition of Related Person Deletion of Related Person KYC Number of Related Person (If Available) _____Related Person Type* Guardian of minor Assignee Authorized Representative

Name* _____
 (If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY (POI) OF RELATED PERSON*

A- PAN Card _____
 B- UID (Aadhaar) _____
 C- Voter ID Card _____
 D- NREGA Job Card _____
 E- Passport Number _____ Passport Expiry Date _____
 F- Driving Licence _____ Driving Licence Expiry Date _____
 G- Others (any document notified by the central government) _____
 Identification Number _____
 H- Simplified Measures Account - Document Type code _____
 Identification Number _____

7. REMARKS (If any)**8. APPLICANT DECLARATION**

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

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date _____

Place _____



 Signature of Client

9. ATTESTATION / FOR OFFICIAL USE ONLY Originals Verified & Self -Attested Document Copies Received.

This is to certify that I have carried out in-person verification in respect of the client mentioned in the KYC form.

KYC VERIFICATION CARRIED OUT BY

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

INSTITUTION DETAILS

Name _____
 Code _____

Employee Signaure

Institution Stamp & Signature of Authorised Signatory

Important Instructions:

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

FATCA/CRS Declaration Form – (Individual)

1 First/ Sole Applicant / Guardian

Name _____

Gender Male Female other

Father's Name _____

PAN _____ Customer ID/Folio NO _____

Occupation Service Busines others Specify _____

Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA & modify the changes

Type of address given at KRA Residential or Business Residential Business Registered Office

Permissible documents are Passport Election ID Card Pan Card Govt. ID Card Driving Licence
 UIDAI Card NREGA Job Card Others Specify _____

Date of Birth _____ Place of Birth _____ Country of Birth _____ Nationality _____

Are you a tax resident of any country other than India? Yes No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country *	Tax Identification Number*	Identification Type(TIN or other, please specify)
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*To also include USA, where the individual is a citizen / green card holder of The USA / "In case Tax Identification Number is not available, kindly provide its functional equivalent\$

2 SECOND APPLICANT

Name _____

Gender Male Female other

Father's Name _____

PAN _____ Customer ID/Folio NO _____

Occupation Service Busines others Specify _____

Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA & modify the changes

Type of address given at KRA Residential or Business Residential Business Registered Office

Permissible documents are Passport Election ID Card Pan Card Govt. ID Card Driving Licence
 UIDAI Card NREGA Job Card Others Specify _____

Date of Birth _____ Place of Birth _____ Country of Birth _____ Nationality _____

Are you a tax resident of any country other than India? Yes No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country*	Tax Identification Number*	Identification Type(TIN or other, please specify)
----------	----------------------------	---

*To also include USA, where the individual is a citizen/green card holder of The USA/"In case Tax Identification Number is not available, kindly provide its functional equivalent\$

3 THIRD APPLICANT

Name _____

Gender Male Female other

Father's Name _____

PAN _____ Customer ID/Folio NO _____

Occupation Service Busines others Specify _____

Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA & modify the changes

Type of address given at KRA Residential or Business Residential Business Registered Office

Permissible documents are Passport Election ID Card Pan Card Govt. ID Card Driving Licence
 UIDAI Card NREGA Job Card Others Specify _____

Date of Birth _____ Place of Birth _____ Country of Birth _____ Nationality _____

Are you a tax: resident of any country other than India? Yes No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country*	Tax Identification Number*	Identification Type(TIN or other, please specify)
----------	----------------------------	---

*To also include USA, where the individual is a citizen / green card holder of The USA / "In case Tax Identification Number is not available, kindly provide its functional equivalent\$

4 CERTIFICATION

I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instruction) and hereby confirm that the information provide by me/us on this Form is true, correct, and complete. I / We also confirm that I / We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

First/ Sole Applicant I Guardian	SECOND APPLICANT	THIRD APPLICANT	POWER OF ATTORNEY HOLDER
Place _____	Date _____		

Money Spell Private Limited

Tel: +91(44) 4204 2222

www.moneyspellindia.com