

|| श्री || LAKSHMISHREE

Gateway to your Financial Goals



CLIENT REGISTRATION FORM - FOR INDIVIDUALS

Branch Name	
Name of Client	
Client Code	
BO ID	1 2 0 5 9 1 0 0 <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Account Opening Date	<input type="text"/> <input type="text"/> — <input type="text"/> <input type="text"/> — <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>


LAKSHMISHREE INVESTMENT AND SECURITIES LIMITED
CIN NUMBER : U74110MH2005PLC157942

Broking and Depository Services offered by Lakshmishree Investment And Securities Limited
 SEBI Registration No. : INZ000170330 (Trading Member of NSE, BSE, MCX)

Depository participant with CDSL and CCRL having SEBI Registration No. : IN-DP-813-2025 and
 CCRL SEBI Registration No. : 12059100.

Research Analyst Registration No. : INH000014395.

Registered Office :- Unit No. 407, 4th Floor, Marathon Icon Nextgen Campus, Ganpatrao Kadam Marg
 Opposite Peninsula Corporate Park, Lower Parel, Mumbai - 400 013, Phone : 022 43431818

Correspondence Office Address :- "Shree House" C-29/61-5 Teliyabag, Varanasi - 221 002 | Phone : 0542-6600000

Website : www.lakshmishree.com

CEO Details :- Mr. Salil Kumar Shah (Phone No. :- 0542-6600000) | E-mail ID :- salil@lakshmishree.com

Name of the Compliance Officer :- Mr. Abhishek Sharma (Phone No :- +91-9235395868)
 E-mail ID :- compliance@lakshmishree.com

For any **grievance/dispute** please contact Lakshmishree Investment And Securities Limited (LISL) at the above address
 or mail at :- **query@lakshmishree.com** or call us on 0542-6600000 or +91 9235395868

In case you are not satisfied with the response, please contact the concerned Exchange(s)/Depository(ies):

CDSL- Email to complaints@cdslindia.com or call on : (022)22723333

	NSE	BSE	MCX
E-mail ID	ignse@nse.co.in	is@bseindia.com	grievance@mcxindia.com
Phone No.	+91-22 26598190	+91-22 22728138	022-67318888

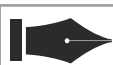
If not satisfied with response or your grievance is still unresolved you may register your complaint to the SEBI on the
SCORES website (link: <https://scores.gov.in/scores/welcome.html>)

FOR OFFICE USE ONLY	Client Name / Sole Holder															
	Client Trading Code / DP Code	1 2 0 5 9 1 0 0														
	Introducer Name & Code															
	Documents Verified by	Name							Signature							
	KYC Entered by															

ICONS FOR ILLUSTRATION


Total 20 Signature
 1-20 Number

Signature of Client



Witness



Authorised Signatory

MANDATORY KYC DOCUMENTS - CHECKLIST

Sr. No.	Name of the Document	Acceptable Documents (Copies of all documents to be self attested)	Please Tick
1	PAN Card	Account Holder	
2	Photograph	One Coloured Front Face Photograph (Passport Size)	
3	Additional Proof of Identity (any one) (If PAN Card is not visible OR PAN Card sign & signature in KYC from are different)	1. Aadhar Card	
		2. Valid Passport (Name, Address & Photo page)	
		3. Voter ID (front & back)	
		4. Valid Driving License (Name, Address & Photo page)	
		5. Other (Please specify)	
4	Proof of Address (any one) Permanent / Correspondence	1. Aadhar Card	
		2. Valid Passport (Name, Address & Photo page)	
		3. Voter ID (front & back)	
		4. Valid Driving License (Name, Address & Photo page)	
		5. Bank Statement / Passbook with complete address of client (not more than 3 months old)	
		6. Banker's Verification Letter	
		7. Electricity Bill (not more than 2 months old)	
		8. Residence Landline Telephone Bill (not more than 2 months old)	
		9. Registered Flat Sale Agreement of Residence	
		10. Registered Lease / Leave & License Agreement	
5	Bank Proof With MICR / IFSC Code (any one)	1. Cancelled Personalised Original Cheque Leaflet	
		2. Bank Statement / Passbook with original cheque leaf (not more than 3 months old)	
		3. Banker's Certificate on letter head of the Bank (Original)	
6	Demat Proof (any one)	1. Client Master (Duly attested by DP)	
		2. DP Statement / Transaction cum Holding Statement	
7	Proof of Income (any one) (Mandatory for F&O/ Currency / Commodity Segment)	1. Copy of ITR Acknowledgement	
		2. In case of Salary Income - Salary Slip, Copy of Form 16	
		3. Net-worth certificate (not more than 1 year old)	
		4. Copy of Demat Account Holding Statement	
		5. Bank Account Statement for last 6 months reflecting income	
		6. Any other relevant documents substantiating ownership of assets	

GENERAL INSTRUCTIONS FOR COMPLETING THE CLIENT REGISTRATION FORM

1. Please ensure that form is complete in all aspects. Strike off whichever option is not applicable.
2. Please fill all information in capital letters and in blue / black ink only.
3. In case of any correction in the form - Sign next to the correction done and sign has to match the original signature.
4. Name & Address of the client mentioned in the KYC form, should match with the documentary proof submitted.
5. Email ID & Mobile number is mandatory for account related passwords and transaction details.
6. Original documents are to be produced for verification at the time of submission of the form.
7. All supportive documents are to be self attested by Client.
8. Sole Proprietor must make the application in his individual name & capacity.
9. Please remit cheque of ₹(600 + GST) = ₹ 708 for account opening charges for Life Time Demat AMC of Demat scheme selected in favour of "Lakshmishree Investment And Securities Limited" only.

ACCOUNT OPENING KIT - INDEX

This KIT is valid for opening Trading Account and Demat Account with **Lakshmishree Investment and Securities Limited** Clients desirous of opening both or any one can utilise the relevant segments of this KIT. The Trading Code for same desired segments of the respective Exchanges and Demat account number will be provided on successful generation of the same

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
1	Account Opening Form-Trading & Demat Account related details	CKYC Form - Document captures the basic information about the constituent	1-3
		Additional KYC Form - Document Captures the additional information about the constituent relevant to Trading and Demat Account	4-8
		Declaration for opening Trading and Demat Account along with acceptance of KYC Document Booklet	9
2	Tariff Sheet (Trading & Demat)	Document detailing the rate / amount of brokerage & other charges	10
3	Policies & Procedures	Document describing significant policies and procedures of member with respect to dealing with the clients (Investment & Securities)	Client Copy
4	Policies & Procedures	Document describing significant policies and procedures of member with respect to dealing with the clients (Commodities)	
5	Rights & Obligations of the Members, Authorised Persons and Clients	Document stating the Rights & Obligations of Member, Authorised Person and Client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading)	
6	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the Equity market & Commodities Market.	
7	Do's and Dont's guidance for the investor's.	Document detailing do's and dont's for trading on Equity exchange, for the education of the investors.	
8	Rights & Obligation of Beneficial Owner & Depository Participant	Document detailing rights and obligations of beneficial owner and depository participant	
9	Executed copy of KYC	Scan copy of executed KYC kit.	
10	Information on Anti-Money Laundering	Policy and Information on Anti-Money Laundering Law	
11	Other Disclosures	Terms and Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL. / Terms & Conditions-cum-Registration/Modification Form for receiving SMS Alerts from CDSL	

VOLUNTARY DOCUMENTS AS PROVIDED BY LAKSHMISHREE INVESTMENT AND SECURITIES LIMITED

12	Power of Attorney (POA)	Authority to operate Demat Account & other powers given for smooth operation	11-12
13	Voluntary Authorisations	1. Authorisation by client for settlement of the fund 2. For receiving ECN and documents / communications in electronic form from Stock Broker and Depository Participant 3. For debiting various Depository Charges 4. Commodity Forward Contracts 5. Acceptance of Securities 6. Other Declaration	13-16
14	Margin Trading Facility	Consent to avail Margin Trading Facility and Common Mobile Number	17-19
15	Common Mobile Number / Email ID & Declaration on Open Interest Position	Declaration of common Email ID / Mobile Number by Client / Declaration on Open Interest Position.	19
16	BSE STAR MF / Running A/c MF / MITC	Investor form for Mutual Fund / it contains the authorisation by the client to the member to maintain running account of funds / securities / MF / MITC	20-21

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

Important Instructions:



- A) Fields marked with '*' are mandatory fields.
B) Please fill the form in English
C) Please fill the form in BLOCK Letters
D) Please fill the date in DD-MM-YYYY format.
E) Please read section wise detailed guidelines / instructions at the end.
F) Tick (✓) wherever applicable.
G) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not applicable
H) The 'OTP based E-KYC chek box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode.
I) KYC number of applicant is mandatory for the update of application.



FOR OFFICE USE ONLY (TO BE FILLED BY FINANCIAL INSTITUTION)

Application Type* ☐ New ☐ Update
KYC Number (Mandatory for KYC update request)
Account Type* ☐ Normal ☐ Minor ☐ Aadhaar OTP based E-KYC (in ono-face to face mode)

PERSONAL DETAILS

	Prefix	First Name	Middle Name	Last Name
Name* (same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father's / Spouse's Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother's Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	PAN No. <input type="text"/>		<div style="border: 1px solid black; padding: 5px; text-align: center;"> PHOTO  Signature / Thumb Impression </div>
Aadhar No. (UID)	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>			
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code) <input type="text"/>		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		<div style="border: 1px solid black; padding: 5px;"> Signature of Client  </div>
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service <input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector	<input type="checkbox"/> O-Others <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student	
	<input type="checkbox"/> B-Business			
	<input type="checkbox"/> X- Not Categorised			

TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA

ADDITIONAL DETAILS REQUIRED* Mandatory only if (jurisdiction outside India)
ISO 3166 Country Code of Jurisdiction of Residence*
Tax Identification Number or equivalent (if issued by jurisdiction)*
Place / City of Birth* ISO 3166 Country Code of Birth*

☐ **PROOF OF IDENTITY (POI)***

(Certified copy of any one of the following Proof of Identity[POI] needs to be submitted)

<input type="checkbox"/> A - Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> B - Voter ID Card	<input type="text"/>								
<input type="checkbox"/> C - PAN Card	<input type="text"/>								
<input type="checkbox"/> D - Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> E - Aadhar (UID)	<input type="text"/>								
<input type="checkbox"/> F - NREGA Job Card	<input type="text"/>								
<input type="checkbox"/> G - Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> S - Simplified Measures Account - Document Type Code	<input type="text"/>	Identification Number	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Specific proof of address submitted for Correspondence/Local address _____

☐ **PROOF OF ADDRESS (POA)***
☐ **CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS**

(Certified copy of any one of the following Proof of Address [POA] needs to be submitted)

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* ☐ Passport ☐ Driving Licence ☐ *UID (Aadhaar) ☐ Voter Identity Card ☐ NREGA Job Card

☐ Simplified Measures Account - Document Type code ☐ Others please specify

Address

Line 1*

Line 2

Line 3 City / Town / Village*

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

Specify proof of address submitted for Permanent/Overseas address _____

☐ **CORRESPONDENCE / LOCAL ADDRESS DETAILS***

☐ Same as Current / Permanent / Overseas Address details

Line 1*

Line 2

Line 3 City / Town / Village*

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

Specify proof of address submitted for Permanent/Overseas address _____

☐ ***ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES**

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence Local Address details

Line 1*

Line 2

Line 3 City / Town / Village*

State State / U.T. Code* ISO 3166 Country Code*

☐ **CONTACT DETAILS**

(All communications will be sent on provided Mobile Number / Email ID)

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

☐ **REMARKS (IF ANY)**

☐ **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 ID on the above registered Mobile number/Email ID.

Date :

Signature of Client



Place :

☐ **ATTESTATION / FOR OFFICE USE ONLY**

☐ Originals verified and Self attested / certified document copies received

Details	KYC Verification & Documents Verified with Original carried out by	Client Interviewed By	In person Verification done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

☐ **INSTITUTION DETAILS**

Name

Code

[Institution Stamp]



Signature of Authorised Signatory

OTHER DETAILS

Gross Annual Income range p.a. And Net-worth in ₹ (Net worth should not be old than 1 year)	<input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> ₹ 1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹ 10-25 Lac <input type="checkbox"/> ₹ 25 Lac -1 Crore <input type="checkbox"/> ₹ 1 Crore-5 Crore <input type="checkbox"/> < ₹ 5 Crore As on <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Please tick if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)
Client Category (Only for Commodity Derivative Market)	<input type="checkbox"/> Farmers/FPOs <input type="checkbox"/> Value Chain Participants (VCPs) <input type="checkbox"/> Proprietary Traders <input type="checkbox"/> Domestic Financial Institutional Investors <input type="checkbox"/> Foreign Participants <input type="checkbox"/> Others

BANK DETAILS (MANDATORY)

	Primary	Secondary, if any
Bank Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other (Specify)	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other (Specify)
Bank A/c Number	<input type="text"/>	<input type="text"/>
Bank Name	<input type="text"/>	<input type="text"/>
Branch Address / City	<input type="text"/>	<input type="text"/>
MICR Code	<input type="text"/>	<input type="text"/>
IFSC Code	<input type="text"/>	<input type="text"/>

DP DETAILS

Sr. No.	Particulars	Primary DP Details	Secondary DP Details
1	DP	<input type="checkbox"/> CDSL	<input type="checkbox"/> NSDL
2	DP Name	Lakshmishree Investment And Securities Limited	
3	DP ID	1 2 0 5 9 1 0 0	
4	Beneficiary Name		
5	BO / Client ID		

ADDITIONAL DETAILS

Whether you wish to receive Physical Contract note or Electronic Contract Note (ECN)/Statement of A/c please specify : ☐ Physical ☐ Electronic

Specify your Email ID, if applicable : _____ Number of years of Investment / Trading experience : (strike off, if not applicable)

Whether you wish to avail of the facility of Internet Trading/Wireless Technology (please specify) : ☐ Yes ☐ No (strike off, if not applicable)

Any other information :

PAST ACTIONS

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

☐ No ☐ Yes - If yes, provide details: _____

DEALINGS THROUGH AUTHORISED PERSONS AND OTHER MEMBERS

If the client is dealing through any other Member / Authorised Person (AP), provide the following details (incase dealing with multiple Members/APs, provide details of all in a separate sheet containing all the information as mentioned below) :

Member's / AP's Name :

Exchange :

Exchange's Registration Number :

Concerned Member's Name with whom the AP is registered :

Registered Office Address :

Pin Code:

Phone :

Fax :

Email ID:

Website:

Client Code

Details of disputes/dues pending from/to such Member/AP:

TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike-off the segment not chosen by you

Market Segment/s	Stock Exchange		
	NSE	BSE	MCX
CASH	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F&O	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COMMODITY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SLBM	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bse Star MF	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If you do not wish to trade in any of segments / Mutual Fund, Please mention here : -			

"In future, if you wish to trade on any new segment / exchange, please submit a duly signed authorisation / letter to us."

PURPOSE OF TRADING

☐ Hedging ☐ Investment ☐ Others (Specify)

GST DETAILS

GST Registration No. : GST Location :

INTRODUCER DETAILS

Name of the Introducer :

(First Name)

(Middle Name)

(Surname)

Status of the Introducer : ☐ Authorised Person ☐ Existing Client ☐ Others, please specify :

Address of the Introducer :

PAN No.

Client Code

Signature of the Introducer :

Mobile No.

I request you to open a Demat Account in my name as per following details :

Sole Holder Name :

[illegible][illegible]

1	Guardians Name															
2	Guardians Address		City/Town/Village						PIN Code							
State						Country										
3	Relationship with Minor								4	Guardian's PAN						
5	Contact Details of Guardian		Phone (Office)						Phone (Res.)							
			Fax No.						Mobile No.							
			E-mail - ID													
6A	Gross Annual Income Income Range per Annum (Plz tick)		<input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> ₹ 1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹ 10-25 Lac <input type="checkbox"/> ₹ 25 Lac -1 Crore <input type="checkbox"/> ₹ 1 Crore-5 Crore <input type="checkbox"/> ₹ < 5 Crore													
6B	Net-worth in (*Net-worth should not be older than 1 year)								As on (Date)							
7	a. Gender		b. Marital Status		c. Date of Birth						d. Nationality					
	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender		<input type="checkbox"/> Single <input type="checkbox"/> Married		<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/>						<input type="checkbox"/> Indian <input type="checkbox"/> Other please specify (if other) _____					
	e. Status		f. Occupation													
	<input type="checkbox"/> Indian Resident <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National		<input type="checkbox"/> Private Sector Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Retired <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Student <input type="checkbox"/> Other (Please specify) _____													
8	Please tick, if applicable		<input type="checkbox"/> Politically Exposed Person <input type="checkbox"/> Related to a Politically Exposed Person													

I instruct the DP to receive each and every credit in my account (If not marked, the default option would be 'Yes')		(Automatic Credit) <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 request you to send Electronic Transaction-cum-Holding Statement at the Email ID_____		<input type="checkbox"/> Yes <input type="checkbox"/> No
I would like to share the Email ID with the RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No
I would like to receive the Annual Report (Tick the applicable box) (If not marked the default option would be in 'Physical')		<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic
I would like to instruct the DP to accept all the pledge instructions in my account without any other further instruction from my/our end (If not marked, the default option would be 'No')		<input type="checkbox"/> Yes <input type="checkbox"/> No
Account to be opened through Power of Attorney (POA)		<input type="checkbox"/> Yes <input type="checkbox"/> No
I wish to receive dividend / interest directly in to my bank account as given in SARAL AOF 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 Mobile Number belong to <input type="checkbox"/> SELF <input type="checkbox"/> FAMILY	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.	<input type="checkbox"/> Yes <input type="checkbox"/> No

I may undertake high value transaction of ₹ 5 lakhs or more in a day depending on market volatility in any of the Exchange/s, where I am registered as client with Lakshmishree Investment And Securities Limited

Purposes of doing transaction are: (Please tick the option whichever is applicable.)

☐ Trading / Speculation ☐ Arbitrage ☐ Hedging ☐ All of the above

Signature of Client



FATCA/CRS DECLARATION/SELF CERTIFICATION

First/Sole Holder	
1	Are you a U.S. Person ? (Refer note blow) <input type="checkbox"/> No <input type="checkbox"/> Yes
2	Specify country of residence for tax purpose (Tax Residency) <input type="checkbox"/> Indian <input type="checkbox"/> Other
3	Specify country of citizenship <input type="checkbox"/> Indian <input type="checkbox"/> Other

US Person means:

In case of individual, 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 citizen, Green Card Holders, tax residents.

Note : If you are U.S. person and / or if your tax residency / nationally / citizenship is other than India, then please provide declaration / self certification under FATCA / CRS. This declaration form can be download from our website : www.lakshmishree.com

OPTION FOR ISSUE OF DELIVERY INSTRUCTION BOOKLET (DIS)**Mandatory to select any one option**

Kindly confirm the manner of receiving DIS booklet

(To be filled by person seeking to open a Depository account where Power of Attorney has been granted to operate the depository account)

☐ I require you to issue Delivery Instruction Slip (DIS) booklet to me immediately on opening my CDSL account though I have issued a Power of Attorney (POA) executed in favour of **LISL** with for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through **LISL**.

☐ I do not require the Delivery Instruction Slip (DIS) for the time being since I have issued a POA in favour of **Lakshmishree Investment And Securities Limited** for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through **LISL**. However, the Delivery Instruction Slip (DIS) booklet should be issued to me immediately on my request at any later date.

Signature of Client


ACKNOWLEDGEMENT TO LAKSHMISHREE INVESTMENT AND SECURITIES LIMITED
FROM CLIENT
MANDATORY**Lakshmishree Investment And Securities Limited**
**407, Marathon Icon, Marathon Nextgen Campus, Ganpatrao Kadam Marg,
 Opp. Peninsula Corporate Park, Lower Parel, Mumbai – 400013**

I hereby confirm that I have gone through all the relevant clauses at the time of execution of KYC and has sought the relevant clarification wherever required from the officials of **LISL**. Further I had read below mentioned document available on company website www.lakshmishree.com as well as it was read in handbook of the company. Moreover please arrange to provide the same documents in ☐ Electronic via E-mail ☐ Physical

Sr. No.	Brief Description of the Document	CLIENT COPY
1	Right and Obligations of Stock & Commodity Brokers, Authorised Person and Clients.	
2	Right and Obligations of Beneficiary Owner and Depository Participant as prescribed by SEBI & Depository.	
3	Rights and obligation of clients, in Internet and Wireless technology based trading of Stock & Commodity facility provided by Broker to Client.	
4	Risk and Disclosure document for Security & Commodity Market.	
5	Guidance note - Do's and Don'ts for trading on Exchange(s) for Investors.	
6	Terms and Conditions for aviating Transaction Using Secured Texting (TRUST) Service offered by CDSL.	
7	Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL	
8	Executed Copy of KYC	
9	Information on Anti-Money Laundering	
10	Policy and Procedure (Equity + Derivative)	
11	Policy and Procedure (Commodity)	

For _____

Client Code : _____

BO ID : 12059100_____

Client's Signature



(should be signed with Rubber Stamp, if applicable)

Note: The standard documents (Client Copy) are also available in vernacular language on our Website: www.lakshmishree.com and can be downloaded at any point of time for reference.

NOMINEE DETAILS FOR TRADING AND DEMAT ACCOUNT
LAKSHMISHREE INVESTMENT AND SECURITIES LIMITED
"Shree House" C -29/61-5, Teliyabag Varanasi- 221002

 Date - - UCC / DP ID Client ID

I/We wish to make a nomination. [As per details given below]




NOMINATION DETAILS

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

Nomination can be made upto three nominees in account.		Details of 1 st Nominee	Details of 2 nd Nominee	Details of 3 rd Nominee
1	Name of the nominee(s) (Mr./Ms.)			
2	Share of each Nomination Equally (if not equally, Please specify percentage)	%	%	%
		Any odd lot after division shall be transferred to the first nominee mentioned in the form		
3	Relationship with the applicant (if Any)			
4	Address of Nominee(s) : City / Place : State & Country : PIN Code :			
5	Mobile / Telephone No. of nominee(s)			
6	E-mail ID of Nominee(s)			
7	Nominee Identification details- [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature , <input type="checkbox"/> PAN, <input type="checkbox"/> Saving bank A/C No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor :

8	Date of Birth { In case of Minor Nominee(s)}			
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10	Address of Guardian(s)			
4	Address of Nominee(s) : City / Place : State & Country : PIN Code :			

5	Mobile / Telephone No. of nominee(s)			
6	E-mail ID of Nominee(s)			
7	Nominee Identification details- [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature , <input type="checkbox"/> PAN, <input type="checkbox"/> Saving bank A/C No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat			
Name(s) of holder(s)				Signature(s) of holder
Sole / First Holder (Mr. / Ms.)				 Signature of Client
Second Holder (Mr. / Ms.)				 Signature of Client
Third Holder (Mr. / Ms.)				 Signature of Client

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

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

LAKSHMISHREE INVESTMENT AND SECURITIES LIMITED
"Shree House" C -29/61-5, Teliyabag Varanasi- 221002

DECLARATION FORM FOR OPTING OUT OF NOMINATION

To _____ Date - -

Trading Member / Participant's Name - -

Trading Member / Participant's Address

UCC / DP ID Client ID (only for Demat Account)

Prefix First Name Middle Name Last Name




Sole / First Holder Name

Second Holder Name

Third Holder Name

I/ We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / Demat account and understand the issue involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claming of assets held in my / our trading / Demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / Demat account.

Name _____ Name _____ Name _____

 Signature of Client  Signature of Client  Signature of Client

* Signature of Witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

CLIENT DECLARATION

1. 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.
2. I confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non mandatory documents.
3. I further confirm having read and understood the contents of the Rights and Obligations document(s), Risk Disclosure Document and Do's and Dont's. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for Information on Member's designated website, if any.
4. I am hereby submitting self-certified Aadhar copy with my due consent for opening the above said account associated to my investment with LISL .

Place _____

Date

Signature of Client

**OFFICE USE ONLY**

I/We undertake that we have made the client aware of tariff sheet and all the voluntary/non-mandatory documents. I/We have also made the client aware of Rights and Obligations document (s), RDD, Do's and Dont's and Guidance Note. I/We have given/sent him a copy of all the KYC documents.

I/We undertake that any change in the tariff sheet and all the voluntary/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 our website, if any, for the information of the clients.

For Lakshmishree Investment And Securities Limited**Authorised Signatory****DISCLOSURE OF PROPRIETARY TRADING BY BROKER TO CLIENT****MANDATORY**

With reference to the SEBI Circular No. SEBI/MRD/SE/Cir-42/2003 dated Nov. 19, 2003 intended to increase the transparency in the dealing between the trading member and their clients, all trading members are required to disclose to its/their clients whether they do client based business or proprietary trading as well.

Pursuant to the above, we wish to inform you that Lakshmishree Investment And Securities Limited at present does trade on proprietary account in the Cash, Derivatives and Commodity segment at NSE/BSE/MCX

I _____ having client code _____ with

Lakshmishree Investment and Securities Limited acknowledge receipt and Understanding of the above.

Signature of Client



Name _____

Client Code _____

TARIFF SHEET (For Trading)				MANDATORY	
Sr. No.	Segment wise Brokerage	Standard Rate		Your Tariff for all Segment	
A	Capital Market Segment	%	Minimum Paise Per Share	%	Minimum Paise Per Share
1	Delivery Brokerage (On Turnover)	0.40	4		
2	Square Up Brokerage (On Turnover)	0.04	4		
B	Derivative Segment	%	Minimum Paise Per Share	%	Minimum Paise Per Share
1	Delivery Brokerage (On Turnover)	0.40	4		
2	Future Square off Brokerage (On Turnover)	0.04			
3	Options Brokerage (Per Lot)	100			
D	Commodity Segment	%	Minimum Paise Per Share	%	Minimum Paise Per Share
1	Delivery Brokerage (On Turnover)	0.40			
2	Future Brokerage (On Turnover)	0.04			
2	Options Brokerage (Per Lot)	100			

TARIFF SHEET (DEMAT) (Effective from 24/08/2023)		MANDATORY
Sr. No.	Activity	Fees
1	Account Opening Charges	Nil
2	Annual Maintenance Charges	₹ 350 <input type="checkbox"/>
3	If Opted For Life Time AMC	₹ 600 <input type="checkbox"/>
4	Pledge Charges	₹ 15/ ISIN
5	Unpledge Charges	₹ 15/ ISIN
6	Dematerialization & Rematerialization Charges	₹ 3 per Certificate subject to Minimum ₹ 15 ₹ 3 per Certificate subject to Minimum ₹ 25
7	Off Market, On Market Transaction Charges	₹ 15 Per Transaction or Per ISIN
8	Account Closing Charges	Nil

Note:

1. Turnover Means (Buy Qty+ Sell Qty) * Trade Rate
2. Minimum Brokerage Per Contract Note ₹ 15 (subject to maximum of 2.5% or maximum slab as per Regulatory Guidelines)
3. If Tariff is not filled, then standard rates will be applicable.
4. GST will be levied separately on all above charges separately.
5. Postal & Courier Charges will be charged separately at ₹ 150/- Per DRF and ₹ 75/- Per RRF
6. Dematerialization & Rematerialization Return charged separately at ₹ 50/- Per DRF & Per RRF
7. Any other Taxes and Govt. levies will be charged extra as applicable

List of Other charges on Actual Basis

1. Transaction Charges
2. Stamp Duty
3. Securities Transaction Tax
4. Commodities Transaction Tax
5. SEBI Turnover Tax
6. Clearing Charges 15/Crore
7. GST on Brokerage and other charges as applicable
8. Other charges as levied by Clearing Member/ Clearing Corporation/ Exchange/ Regulatory Authorities
9. Payment Gateway Charges
10. Postal & Courier Charges
11. Cheque Bouncing Charges etc
12. Delay Payment Charges not exceeding 2% per month will be charged on debit balance if any
13. Delay Payment Charges not exceeding 2% per month on Margin Funding by us on amount of Margin shortage if any
14. Margin Shortage Penalty as levied by the Exchanges/SEBI/ Regulatory Authorities.

Signature of Client



Demat Debit and Pledge Instruction (“DDPI”)

Date DD - MM - YYYY

Application No

UCC / DP ID 1 2 0 5 9 1 0 0

Client ID





UCC

I/We agree to the terms and conditions of DDPI document between the undersigned individual(s) (hereinafter referred to as client) and **M/s Lakshmishree Investment And Securities Limited** (hereinafter referred to as “**Lakshmishree**”), a Company duly incorporated Act, 1956 and registered office at **M/s Lakshmishree Investment And Securities Limited**, Unit No 407, IV Floor, Marathon Icon Marathon Nextgen Campus, Ganpat Rao Kadam Marg, Mumbai-400013 Opposite Peninsula Corporate Park, Lower Parel, India;

Whereas **Lakshmishree** is a SEBI registered Stock Broker & Depository Participant and is providing Stock Broker & Depository Participant services to their registered clients. Whereas **Lakshmishree** has the following Principal accounts/ Clearing Member Accounts/ Early Pay-in / Pool / Margin Pledge accounts / CMBP Ids to receive securities from the clients:

NSE POOL	1205910000002790	BSE POOL	1205910000017558
NSE EARLY PAY-IN	1100001100017252	BSE EARLY PAY-IN	1100001000023249
PLEDGE A/c	1205910000290392	MTF PLEDGE A/c	1205910000290675

This DDPI document shall be in line with SEBI Circular no. SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated April 04, 2022, as may be updated from time to time, and I agree to the below points :

SI No.	Purpose	Signature of Client
1	I/We agree and permit Lakshmishree to transfer any securities held in my beneficial owner account towards any Exchange (any SEBI Recognised Exchanges where Lakshmishree is a member) related deliveries / settlement obligations arising out of trades executed by me / us on the Exchanges through Lakshmishree.	
2	I/We agree and confirm to allow pledging / repledging of securities in favour of Lakshmishree and the clearing member (CM) with whom Lakshmishree is a member of, for the purpose of meeting my /our margin requirements in connection with the trades executed by me/us on the Exchanges.	
3	I/We agree enabling Mutual Fund transactions to be executed via stock exchange operated order entry platforms, such as BSEStar MF & NSE NMF.	
4	I/We agree to enable tendering of shares submitted by me under any open offers via stock exchange platforms.	

VOLUNTARY AUTHORISATION LETTER

From : _____

Client Code: _____

DP Client Code: 1 2 0 5 9 1 0 0 _____

Date :

Lakshmishree Investment And Securities Limited
 Unit No 407, IV Floor, Marathon Icon Marathon Nextgen Campus
 Ganpat Rao Kadam Marg Opposite Peninsula Corporate Park
 Lower Parel, Mumbai-400013

 By ticking on Yes you authorise LISL to maintain
 the trading as Running Account there by adjusting
 any obligations and receivables
Subject : Voluntary Authorisation Letter**1. Authorisation for Periodic Settlements of Funds** ☐ Yes ☐ No

- A) To maintain my account on a running account basis and adjust any amounts receivable from me against any credits standing into my account or from my forthcoming payouts payable by me to LISL, where I am registered with you as a client.
- B) I request you to keep my funds with you to meet my pay in obligations in the succeeding settlements in the same segment as well as other segments of BSE and /or NSE and/or MCX where I am registered with you as a client.
- C) Further it is observed that many times the date on which payment is due to me from you and the date which I am required to make payment to you are very close and therefore exchange of payment become unnecessary paper work. Hence, I request you to maintain the Running Account facility with you. I agree that you shall not be required to pay any interest/ charges / cost in respect of funds on a Running Account basis.
- D) I hereby give my constant for periodic settlement of my funds.
- E) However my preference for periodic settlement of funds is as follows:-
 A. Monthly ☐ B. Quarterly ☐
- F) I declare that this authorisation is revocable by me at any time without giving any prior notice of such revocation to LISL.
- G) I agree that for any payouts from my trading account, I specifically shall intimate above the same and LISL shall upon due scrutiny of my account and upon adherence to its policy/procedure, shall release eligible amount to me. I agree that this authorisation shall have an equal binding effect to the successors, executors and assigns of Lakshmishree Investment and Securities Limited.
- H) I hereby authorise you to transfer/adjust all the additional fund lying in my ledger account after meeting my obligation dues, to the collateral account to avail exposure of keep all fund in your margin account with you to meet my margin obligations to keep the same with any exchange and / or with clearing member in the form of fixed deposit or any other form to avail exposure / meet margin requirements. This arrangement would be without any consideration or the funds so moved will not be any interest / commission payable to me / is in the event of above arrangement.

2. Authorisation for receiving ECN 's and any document / communication in electronic form by E-mail from the stock broker (all exchanges/segment) and Depository Participant ☐ Yes ☐ No

I am registered as a client and having the captioned Trading account and Depository Account hereby authorise LISL for the SMS or following :-

- A) I authorise LISL to issue me electronic Contract notes (ECN's), bill, trade confirmations, ledgers, daily margin statements, statements for accounts for periodical settlement of funds and securities, any notices, circulars, amendments and such other correspondence or communication related to my trading account (here in after referred to as "documents") and wherever required duly authenticated by means of a digital signature as specified in the Information Technology Act, 2000 and the rules made there under to the E-mail ID as mentioned hereunder.

 By ticking on Yes you authorise LISL to send all
 important communication like notices, contract
 notes etc. from LISL by MAIL or SMS

To be Continued...

B) I understand that the documents received on E-mail/displayed on website are for my convenience. I take all the necessary step to ensure confidentiality and secrecy of the login name & password of the internet / E-mail account. I am aware that the documents as may be accessed by other entities in case the confidentiality / secrecy of the login name and password is compromised.

C) I shall verify the authenticity of the E-mails which I shall receive. LISL shall not be responsible, if I do not receive the documents due to incorrect email ID and /or technical reasons.

D) I authorise LISL to issue me bills, ledgers, monthly/quarterly/yearly demat transaction cum holding statements, any notices, circulars, amendments and such other correspondence or communication related to my demat account (here in after referred to as "Documents") and wherever required duly authenticated by means of a digital signature as specified in the Information Technology Act, 2000.

E) I understand that wherever the E-mails have not been delivered to me or has been rejected (bouncing of mails) from the E-mail ID of mine, LISL would send physical documents to me. I further hereby agree that LISL have fulfilled the legal obligation, if the above documents are sent electronically to the below mentioned E-mail ID. I agree that LISL will not be responsible for non-receipt of documents sent via electronic delivery due to change in Email address or for any other reason which inter alia include my Email/inbox running out of capacity, malfunction of my computer system/server/internet connection, mails received by frauds/imposters etc. I also agree that LISL shall not take cognizance of out-of office/ out-of-station auto replies and I shall be deemed to have received such electronic mails.

I shall inform LISL in writing if there is any change in my registered E-mail ID. _____

3. Authorisation for debiting various Depository Charges :-

☐ Yes

☐ No

By ticking on YES you authorise LISL to deduct all DP charges from your Account

A) I hereby give my consent/authority to debit/recover all types of depository charges viz annual maintenance charges, inter settlement charges, any type of transaction charges as is levied on me for the transactions carried out in my demat account including any statutory levies, services tax or any other tax/charges/fees in/from my trading ledger having the captioned client code as maintained with LISL. I understand and agree that such depository charges will be debited in my trading ledger maintained with LISL irrespective of the ledger balance on periodically and/or as per the details provided by LISL.

B) I instruct LISL to provide the requisite information periodically and/or on occasion basis of such charges levied on me to LISL with whom I have opened the trading account. I understand and consent that LISL shall have the right to recover the depository charges like any other trade dues payable by me from my trading ledger. I hereby further authorise LISL to set off a part or whole of the collateral/ledger balances/securities in my demat account i.e. by way of appropriation of the relevant amount of cash or by way of sell or transfer or liquidation/close out positions of all or some of the securities placed as collateral or lying in my demat account as stated above for the purpose of clearing any outstanding amount related to the aforesaid demat account maintained with LISL. All losses and financial charges on account of such liquidation/close-out shall be borne by me.

4. Request for trading in commodity forward contracts/commodity derivatives on MCX

 Yes ☐

 No ☐

I the undersigned, have taken cognizance of circular no. MCX/338/2006 dated August 21, 2006, MCX/541/2006 dated December 7, 2006, and MCX/T&S/014/2012 dated January 12, 2012, issued by Multi Commodity Exchange of India Ltd (MCX) on the guidelines for calculation of net open positions permitted in any commodity. I hereby undertake to comply with the same. I hereby declare and undertake that we will not exceed the position limits prescribed from time to time by MCX or SEBI, and such position limits will be calculated in accordance with the contents of the above-stated circular of MCX as notified from time to time.

To be Continued....

I undertake to inform you and keep you informed if I/any of our partners /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 MCX through you or through any other member, to enable you to restrict our position limit as prescribed by the above-referred circulars as modified from time to time.

I confirm that you have agreed to enter orders in commodity forward contracts /commodity derivatives for me as your clients on MCX only on the basis of our above assurances and undertaking.

5. Acceptance of securities as collateral for any or all segment(s) ☐ Yes ☐ No

I _____ (PAN - _____) having my Trading Account with do hereby provide my consent/ authorisation to further pledge /deposit my securities lying with you or in my/our Beneficial Account (Demat Account No) with the clearing member / clearing corporation for additional exposure availed by me during the period of my relationship with you.

I hereby declares and assure that

- (i) the said Securities are owned by me,
- (ii) the said Securities are in existence and are free from any charge, lien or encumbrance, whether prior or otherwise,
- (iii) the said Securities will be subject to the creation of pledge in favor of or for the benefit of Clearing Corporation and further that the Securities over which pledge may be created in future would be in existence and owned by me at the time of the creation of such pledge and that the said Securities to be given in future as security to clearing corporation would likewise be unencumbered, absolute and disposable property of the clients.
- (iv) **LISL** or its Clearing Member is authorised to do all such acts and things, sign such documents, and pay and incur any such costs, debts and expenses as may be necessary, and the same shall be subject to terms and conditions as contained herein
- (v) Clearing Corporation may invoke the pledge without my reference or permission and upon receipt of the said Securities, Clearing Corporation may utilize the proceeds in meeting my obligations in such manner as it may deem fit and that such invocation of the pledge will be final and irrevocable against the Clearing Member and me.
- (vi) I shall not make any claims or demands for refund or any reimbursement in relation to the said Securities.
- (vii) I hereby confirm that I read the terms and conditions to this effect and fully aware of the consequences of the same.

6. OTHER DECLARATION :-

I am dealing in securities with Lakshmishree Investment and Securities Limited. (**LISL**) at NSE/BSE/MCX in Cash, Derivative & Commodities Segment in order to facilitate ease of operations, I authorise **LISL** as under :

1. I authorise **LISL** to set off outstanding in any of my accounts against credits available or arising in any other accounts maintained with **LISL** irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and/or against the value of cash margin or collateral shares provided to **LISL** by me.
2. I hereby authorise **LISL** not to provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I shall get the required details from contract notes issued by **LISL**. If it is required additionally, I confirm that levy of charges as per broker policy on the physical issuance of the contract note and other documents.
3. I request **LISL** to consider my telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me all the confirmation on telephone unless instructed otherwise in writing. I am getting required details from contracts issued by **LISL**.
4. I shall not hold **LISL** or any of its employee/official/agent/affiliate responsible or liable for any information, recommendation or advice with respect to any investment/ trading decision or transaction, and if so acted upon by me the same shall be at my sole risk and cost.
5. **LISL** may restrict my trading as per their risk management and/or due diligence policies, or any other reason in spite of my having paid full margin. I will comply to their requirements then which may include submission of updated documents, undertaking, financial etc.
6. **LISL** and its directors, officers, employees, and agents shall not be responsible or liable for any losses suffered or which may be suffered by me arising from any delay or failure in the transmission, receipt, execution or confirmation of orders due to any breakdown, interruption or failure of transmission of the internet, computer network, software, hardware, other computer devices, internet system and any problem arising from my side.

To be Continued....

7. **LISL** and/or its agents will not be liable for losses caused directly or indirectly by government restriction, exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, strikes or any other conditions beyond its control.
8. I do hereby confirm that I shall not deposit any third party cheque towards meeting my obligation for the trades executed by me and hence shall not hold **LISL** against any such credit.
9. It shall be my responsibility to check the data provided through SMS Alert Service or Email services with the actual Contract Notes/Financial Ledgers given by **LISL**. The messages flashed shall be merely reminders for my convenience that I shall take all my actions based on the normal confirmation received by me. I agree to inform **LISL** of any changes in the mobile number on which the updates are required.
10. I undertake that I shall not hold **LISL**, its Directors or Officers liable towards my acceptance of any lucrative offer of fixed return on investment without the knowledge of the Company and the onus to bring the same to the notice of the Company lies with me.
11. I undertake that if any claim or dispute arises between us in respect of any transactions, contracts, etc. entered into on my account, I shall be bound to refer it to Arbitration as per the Rules, Bye-Laws and Regulations and conventions of the SEBI and/or exchange(s) which are applicable to me.
12. I agree to abide by client level position limit and authorise **LISL** not to increase my open position beyond the stipulated limit, and if inadvertently exceeded, to actually reduce and bring it within acceptable limits. I further authorise **LISL** to debit my ledger for any penalty imposed on you for my violation towards position limit.
13. I will not plant any false or misleading news which may induce sale or purchase of Shares/Securities.
14. I will not sell, deal or pledge any of the stolen or counterfeit security whether in physical or dematerialized form. I will not act in such a manner amounting to manipulation of the price of a security.
15. I will not advance or agree to advance any money to any person thereby inducing any other person to offer to buy any security.
16. I will not introduce any kind of money acquired illegally in the financial system. I will submit the necessary documents/information required under the PMLA and/or any other statute.
17. I will not carry out any unfair trade practices such as Synchronized deals, Structured deals, Circular Trading.
18. I request that **LISL** may send/dispatch me contract notes other documents through E-mail on my Designated e-mail address _____. I will completely rely on the log reports of your dispatching software as a conclusive proof of dispatch of E-mail to me and will not dispute the same.
19. Trading of all Exchanges is in Electronic Mode, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/ glitch whereby not being able to establish access to the trading system/ network, which may be beyond your control and may result in delay in processing or note processing buy or sell orders either in part or in full. I agree that I shall be fully liable and responsible for any such problems / fault.
20. I confirm that I will never sublet the trading terminal on any term of connectivity, from my place to any other place without your prior approval.
21. I agree for & authorise **LISL** to withhold funds pay-out towards all the applicable margins and debits.
22. All fine/penalties and charges levied upon **LISL** due to my acts/deeds or transactions may be recovered by **LISL** from my account.
23. I have a trading as well as depository relationship with you. Please debit the charges relevant with depository services from my trading account on monthly basis. Also agree to maintain the adequate balance in my trading account / pay adequate advance fee for the said reasons.
24. I can revoke the above mentioned authority at any time.

Yours Faithfully,

Client Code : _____

Signature of Client



CONSENT TO AVAIL MARGIN TRADING FACILITY**VOLUNTR**

To

LAKSHMISHREE INVESTMENT AND SECURITIES LIMITED (LISL), Unit No 407, IV Floor, Marathon Icon, Marathon Nextgen Campus, Ganpat Rao Kadam Marg, Opposite Peninsula Corporate Park, Lower Parel West, Mumbai-400013

Dear Sir,

I registered client with you and having Trading code & DEMAT A/c No.....willing to avail margin Trading Facility (MTF) offered by you. I hereby confirm that I had read and understood & agree with the right and obligation as prescribed by NSE & BSE. Also I had received hard copy of Right & Obligation as prescribed by NSE & BSE separately from you. The same is also available on the company website www.lakshmishree.com from where we can see and download the same in future if any change done.

Signature of Client

14

Further, I undertake, authorise, confirm and agree the term & condition prescribed by **LISL** for Margin Trading Facility as given below...

1. The initial margin payable by the client to **LISL** shall be in the form of cash, cash equivalent or Group 1 equity shares, with appropriate hair cut as specified in SEBI master Circular No. SEBI/HO /MRD/DP/CIR/P/2016/135 dated December 16, 2016. Such margin can be changed from time to time or may be decided by the management of **LISL**. Such margin prescribed by **LISL** may be higher than the quantum prescribed by regulatory provisions. The client shall pay applicable initial margin or such other margins as are considered necessary by the stock broker or as may be directed by SEBI / Exchange(s) from time to time as applicable to margin trading segment in which the client trades.

2. As per SEBI circular No. CIR/MRD/DP/54/2017 dated June 13, 2017, Equity Shares that are classified as "Group 1 Security" by SEBI only shall be eligible for MTF. **LISL**, at its discretion, may not provide funding under MTF to certain equity shares though classified to be "Group 1 Security" by SEBI. Equity shares shortlisted by SEBI/EXCHANGE for funding (Approved List) shall be as displayed on **LISL** website WWW.LAKSHMISHREE.COM from time to time. In order to avail of margin facility, the minimum initial margin required to be provided by the clients, as prescribed by SEBI/Stock Exchanges, is as under: VaR + 3 times of applicable ELM in case of F & O Stocks (i.e., stocks available for trading in the F&O Segment. VaR + 5 times of applicable ELM in case of stocks other than F & O Stocks. VaR and ELM shall mean VaR and ELM as applicable to respective stocks in the cash segment.

3. Leverage & exposure: **LISL** shall provide exposure to client based on exposure limit as prescribed by SEBI/Exchange(s) from time to time. However based on market conditions and the risk perception about the market, **LISL** may set the exposure limit on the basis of available collaterals which may comprise of ledger balance and stocks (after suitable margin haircut). In case overall position in particular scrip or across all scrip has reached the particular limit, then client may not be allowed to take further position. Collateral provided by client towards margin shall be free from any lien and be totally unencumbered.

4. Initial margin, increased margin, margin shortage, margin calls, maximum allowable exposure, maximum stock specific exposure, trade confirmation, square off intimation and such other information in relation to MTF shall be communicated electronically through one or many or all of the following modes, viz email, SMS & telephone calls.

5. The margin requirement of client may be changed due to but not limited to, the following factors - market volatility, risk management policy of **LISL**, **LISL** will communicate / advice the parameters for the calculation of the margin / collateral requirement as rate(s)/Percentage(s) of the haircut and/or as VAR / ELM requirement through any one or more means or methods such as by messaging on the computer screen of the client's computer by informing the client through employees / agents of **LISL**, by publishing /displaying it on the website of **LISL**/ making it available as a download from the website of **LISL** or any other suitable or applicable mode or manner. The client shall monitor his /her / its position (including valuation of collaterals) on his / her / its own and provide the require / deficit margin / collateral as required from time to time whether or not any margin call or such other separate communication to that effect is sent by **LISL** to the client and / or whether or not such communication is received by the client to avoid any liquidation.

6 The client agrees that **LISL** shall not be responsible for variation, reduction or imposition or the client's inability to create any position through **LISL**'s trading system on account of any such variation, reduction or imposition of limits. The client further agrees that **LISL** may at anytime, at its sole discretion and without prior notice prohibit or restrict the client's ability to create position in securities through **LISL** or it may liquidate the position/sell shares or subject any position by the client to a review before its creation and may refuse to create position due to the reason of lack of margin/collateral market perception and any other such reasons which **LISL** may deem appropriate in the circumstances. The client agrees that the financial charges and losses, if any on account of such refusal, liquidation or due to delay caused by such review under MTF or otherwise, shall be borne exclusively by the client alone.

Applicable minimum initial margin and increased margin, if any, shall be kept supplied at all times by the clients in respect of the stocks purchased under the MTF client shall pay any shortage in the required margin immediately on receiving demand (margin call) and in any case not later than 09.30 A.M on the trade day following the day of making the margin call (prescribed time) failing which **LISL** shall be at liberty to liquidate the funded shares and/or collateral shares to recover the dues outstanding in the account of the clients. In case of extreme volatility in the market, **LISL** may demand payment of margin forthwith and prescribed time for making margin payment shall be construed accordingly. Decision of **LISL** in relation to market volatility shall be final and binding without **LISL** having to provide any reason for the decision to the client.

7. If required margin is not provided within the prescribed time, client shall be treated as client in margin default. **LISL** shall not be obliged to notify the client in margin default of the liquidation of shares, ahead of liquidation. **LISL** shall be obliged to liquidate shares proportionate to the shortage in margin.
8. Client in margin default shall continue to be in margin default, until the required margin is furnished in full to eliminate the shortage. Partial payment of margin or a change in the required margin shall not extend the time stipulated for making margin payment which will run from the time of making margin call to the client.
9. In case margin is reduced by an amount equal to applicable ELM component of the total margin due to market volatility within a trading day (i.e. available margin becomes equal to or less than applicable VAR margin), **LISL** reserves the right to liquidate the collaterals and/or funded shares forthwith without prior notice to the client.
10. MTF clients purchasing shares not specified in **LISL** Approved List of Group 1 securities shall be required to 100% margin upfront for such purchases.
11. If any shares are delisted from Group 1 Approved List, client shall be required to make payment of full purchase consideration against such shares on receiving margin call with in the prescribed time, failing which **LISL** shall be at liberty sell such shares without further notice to the client.
12. If a client is debarred by orders of lawful authority from trading in the securities market, **LISL** shall liquidate collateral and funded shares of the client to recover its dues to the full extent forthwith.
13. In case of death of a client, **LISL** shall be entitled to liquidate the collateral and funded shares under MTF and recover the unpaid outstanding due.
14. Any loss arising from liquidation of the shares shall be charged to the account of client. Client shall forthwith pay **LISL** any unpaid dues outstanding in the account after liquidation of the shares.
15. **LISL** reserves the right to withdraw MTF with respect to any client without assigning any reason after giving a reasonable notice to the client in which case dues if any outstanding in the account of the client shall become payable immediately. Failure to make payment of the outstanding dues shall result in liquidation of collateral and/or funded shares held in client's account.
16. Client may terminate the MTF account after paying all dues in the MTF account.
17. The stocks deposited as margin collateral and funded stock shall be identifiable separately and no compiling shall be permitted for the purpose of computing funding amount.
18. **LISL** may at its option allow client to buy further shares under MTF on the basis of increase in the value of collateral shares, subject to applicable hair cut. Further purchase shall not be permitted on the basis of increase in the market value of funded shares.
19. IPF shall not be available for transactions done on the Stock Exchange, through MTF, in case of any losses suffered in connection with the MTF availed by the client.
20. **LISL** shall restrict the maximum gross exposure as well as individual stock-wise exposure of a client under the MTF at any point in time according to its internal policies and market views without assigning any reasons to the client. Furnishing applicable margin shall not by itself entitle the client to seek exposure beyond the limit restricted by LISPL.
21. Admitting clients for MTF shall be at the discretion of the Stock Broker/Trading Member. Clients request for admission to MTF may be disallowed without assigning any reason.
22. By agreeing to avail of MTF, the client shall be deemed to have authorised **LISL** to retain and/or pledge the shares purchased under MTF (funded shares) and collateral shares provided as margin till the amount due in respect of the purchase and all other dues are paid in full by the client.
23. **LISL** shall maintain separate ledgers for funds and securities of the client availing of MTF.
24. Client agree to pay interest at the rate of 24% p.a (plus taxes, if any applicable) on debit arising out the exposure availed by the client (i.e the amount finance by **LISL**) compounded monthly any charges as mutually agreed from time to time.

25. Until full payment of the outstanding dues in the MTF A/c is made by the client, collateral shares and funded shares, as far as may be required, shall be retained in the designated DEMAT A/c of **LISL**, separately identified as collateral shares and funded shares.

26. Daily margin statement sent to the MTF clients shall identify margin/collateral for MTF transaction separately.

27. Margin Trading Account where there is no transaction for 90 days and no dues outstanding from the client shall be settled immediately.

28. In case client does not opt for MTF, all dues on account of purchase of shares, accrued /accruing, shall be payable immediately/on or after T+7 failing which **LISL** shall sell the shares to liquidate /reduce the dues and remaining unpaid dues, if any, shall become payable forthwith

29. Any disputes arising between the client and **LISL** in connection with the MTF or anything incidental or ancillary therewith, the client shall raise/report the same to **LISL** not later than within 24 hours of receipt of contract note for the disputed transaction, shall have the same treatment as normal trades and will be covered under the investor grievance redressal, mechanism, arbitration mechanism of the stock exchange

Signature of Client

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DECLARATION FOR MOBILE NUMBER AND EMAIL ID

VOLUNTARY

(Mandatory if E-mail ID or Mobile No. is already registered with us)

Date:- _____

To,
Lakshmishree Investment And Securities Limited
 407, Marathon Icon, Marathon Nextgen Campus, Ganpatrao Kadam Marg,
 Opp. Peninsula Corporate Park, Lower Parel, Mumbai - 400013

Subject : Common Mobile Number / Email ID for Trading Account and Demat Accounts

Dear Sir,

I, Mr/Mrs/M/s _____ would like to confirm that the mobile number _____ and Email ID _____ is registered in my name. I am your registered client having trading code as _____ and demat account number as 12059100_____ upon understanding from you that my/our mobile number/Email ID is registered with some of the clients who have trading and / or demat accounts with you. I have to state that this in my full knowledge and I have consented to the below clients who are my relative/s to state my mobile number/Email ID is their KYCs to which I have no objection. All the transactions in their accounts are not only done as per their respective instructions but they are well conveyed by us of all the SMS/Email belonging to them which are sent by you to us on our above mobile number/Email ID.

All these below clients also do not have any objection to the same, in consent they have also signed:

Sr. No.	Client Name	Trading Code	Demat A/c	Relation	Signature
1					
2					
3					
4					
5					

However, in case of any further regulatory requirements, I undertake to abide upon hearing from you.

Note : The close relatives ONLY to be included are - Spouse, Dependent Children and Dependent Parents.

Name : _____

Address : _____

Signature of Client

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BSE STAR MF (LETTER TO BR PROVIDED BY THE INVESTOR TO THE MFI)**VOLUNTARY**

To
Lakshmishree Investment And Securities Limited

Date : - -

Sir,

Sub: **BSE STAR MF**

I _____ am registered as your client with Client Code No. _____ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of Bombay Stock Exchange Ltd. (Exchange).

I am interested in availing the trading facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE STAR MF.

For the purpose of availing this facility, I state that Know Your Client details as submitted by me for the stock broking may be considered for the purpose of BSE STAR MF and I further confirm that the details contained in same remain unchanged as on date.

I are willing to abide by the terms and conditions as mentioned in the circular dated December 2, 2009 and as may be specified by the Exchange from time to time in this regard.

I shall ensure also 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).

I shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I therefore request you to register me as your client for participating in BSE STAR MF.

Thanking you,

Signature of Client

**STANDING INSTRUCTION TO MAINTAIN RUNNING ACCOUNT WITH RESPECT TO MF TRANSACTION (VOLUNTARY)**

I request you to maintain my accounts for funds on running accounts basis instead of 'bill to bill' settlement basis across exchanges, unless I specifically request you for a payout of available free funds in the account

I may settle the accounts at Monthly ☐ Quarterly ☐ [Tick (✓)] whichever is applicable, else the option will be considered as (Quarterly) or at such other intervals as SEBI / Stock exchanges may specify from time to time. I further authorise you to retain fund as may be permitted by Stock Exchanges / SEBI from time to time or towards other unbilled services and / or charges applicable on my account, while settling the accounts.

I confirm you that I will bring to your notice any dispute arising from the statement of accounts or settlement so made to **LISL** in writing within 7 working days from the date of receipt of funds/ units or statement, as the case may

LISL shall transfer the credit funds lying **LISL** on client request within one working day of the request if the same are lying with him and within three working days from the request if the same are lying with the Clearing Member/Clearing Corporation.


I agree that Lakshmishree Investment And Securities Limited shall not be liable for any claim for loss or loss of profit or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such funds.

This Standing Instruction shall remain valid till - -

The standing instruction / authorisation for maintaining my / our account as running account shall remain valid until revoked in writing, addressed to you.

Signature of Client



			
Broker/Agent Code ARN:		SUB-BROKER:	
EUIN:			
Unit Holder Information			
Name of the First Applicant :			
PAN Number :		KYC:	Date of Birth :
Father Name :		Mother Name :	
Name of Guardian :		PAN :	
Contact Address :			
City :	Pincode :	State :	Country :
Tel.(Off) :	Tel.(Res) :	Email :	
Fax (Off) :	Fax (Res) :	Mobile :	
Income Tax Slab/Networth :		Occupation Details :	
Place of Birth :		Country of Tax Residence :	
Tax Id No. :			
Politically exposed person / Related to Politically exposed person etc.?			Yes No
Mode of Holding :		Occupation :	
Name of Second Applicant :			
PAN Number :		KYC:	Date of Birth :
Income Tax Slab/Networth :		Occupation Details :	
Place of Birth :		Country of Tax Residence :	
Tax Id No. :			
Politically exposed person / Related to Politically exposed person etc.?			Yes No
Name of Third Applicant :			
PAN Number :		KYC:	Date of Birth :
Income Tax Slab/Networth :		Occupation Details :	
Place of Birth :		Country of Tax Residence :	
Tax Id No. :			
Politically exposed person / Related to Politically exposed person etc.?			Yes No
Other Details of Sole/ 1st Applicant			
Overseas Address :			
(In case of NRI Investor)			
City :	Pincode :	Country :	
Bank Mandate Details			
Name of Bank :		Branch :	
A/C No. :	A/c Type :	IFSC Code:	
Bank Address :			
City :	Pincode :	State :	Country :
Nomination Details			
Nominee Name :		Relationship :	
Guardian Name (If Nominee Is Minor) :			
Nominee Address :			
City :	Pincode :	State :	
Declaration and Signature			
I/We confirm that details provided by me/us are true and correct. The ARN holder has disclosed to me/us all the commission (In the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Fund From amongst which the scheme is being recommended to me/us.			
Date :		Place :	

Signature of Client

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Most Important Terms and Conditions (MITC)
(For non-custodial settled trading accounts)**Annexure A**

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker’s Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

Signature of Client



TRADE ON YOUR FINGERTIPS

- Simplified Login
- Delivery Volume Data
- Technical Scanners
- Mutual Fund*
- IPO Bidding*
- Stock SIP
- Easy Fund Transfer



- Advance Technical Chart
- Strategy Based Trading
- Fundamental Analysis
- Pivot Point Scanner
- Live Price Alert
- FII/DII Activity
- Insurance*

*Distributor

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AUG - 2025

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Opposite Peninsula Corporate Park, Lower Parel, Mumbai - 400 013 | Phone : 022 - 43431818

Correspondence Office : "Shree House" C-29/61-5, Teliyabag, Varanasi - 221002 | Phone : 0542-6600000