



## INSTRUCTIONS/CHECKLIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

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

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card / Driving license.
2. PAN card with photograph.
3. Identity card / document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

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

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

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

### D. Exemptions/clarifications to PAN (\*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and /or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities / multilateral agencies exempt from paying taxes / filing tax returns in India.
4. SIP of Mutual Funds up to Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

### E. List of people authorized to attest the documents:

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

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

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

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

- G. Copy of cancelled cheque leaf/ pass book/ bank statement specifying name of the constituent, MICR Code or/ and IFSC Code of the bank should be submitted.
- H. Demat master or recent holding statement issued by DP bearing name of the client.  
For Individuals:
- a. Stock broker has an option of doing 'in person' verification through web camera at the branch office of the stock broker/ sub broker's office.
- b. In case of non resident clients, employees at the stock broker's local office, overseas can do in person verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy/ Consulate General in the country where the client resides may be permitted.  
For non individuals:
- a. Form need to be initialized by all the authorized signatories.
- b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

To,

## Crown Money

A-302, Rajkamal Co.Op.Hsg. Society, Juhu Versova Link Road, Seven Bunglows, Versova, Andheri (West), Mumbai 61.

**Sub: Acknowledgement**

This is to acknowledge the receipt of following documents.

I further state and confirm that I have read and understood all the clauses of aforesaid document.

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

Sl. No.	Brief significance of the Document
1.	Duly Executed Copy of KYC
2	Rights and Obligations
3	Risk Disclosure document (RDD) for Capital, Derivatives, and Currencies, Segments
4	Guidance Note- Do's and Don'ts for trading on the Exchange(s) for investors
5	Brokerage Rates
6	Policies and Procedures Document pursuant to the SEBI circular dated December, 03,2009
7	General Terms & Conditions governing securities trading and broking services of Crown Money

Yours faithfully,

Client Signature

Name of the Applicant: \_\_\_\_\_

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

S. No.	Name of the Document	Brief Significance of the Document	Page No
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1	Account Opening Form	A KYC form- Document captures the basic information about the constituent and on instruction/ check list.	5 - 6
		B Document captures the additional information about the Constituent relevant to trading account and on instruction/ check list.	7 - 9
2	Brokerage Rates	Document detailing the rate/ amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	10
3	Rights and Obligations	Document stating the Rights & Obligations of stock broker/ trading member and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading).	Annexure A
4	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market	Annexure B
5	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	Annexure C
6	Policies and Procedures	Document describing significant policies and procedures of Stock Broker	Annexure D
<b>VOLUNTARY AND OPTIONAL DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
7	Undertaking	Contains voluntary undertakings by the client with respect to Crown Money internal operations during the course of the relationship with Crown Money	11-13
8	Authorization for Electronic Contract Notes	Client consent letter for receiving the contract notes by Email	14
9	Mobile Declaration & Client defaulter declaration	Client consent letter for receiving SMS from Crown Money and a client declaration stating that he is not a defaulter	15
10	Running Account Authorization	Letter of Authorization for maintaining a Running Account with Crown Money	16
11	Self Declaration (Derivatives Trading)	Declaration of an individual's financial information for trading in the Derivatives Segment	17

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#### CHECKLIST WHILE SUBMITTING THE TRADING APPLICATION FORM

- 2 -3 PASSPORT SIZED PICTURES.
- Signed all areas marked
- 2 Photocopy of PAN card, self attested.
- 2 Photocopy of address proof, self attested
- Photocopy of last 6 months bank statement or Income Tax returns of salary slip or any other income proof, self attested.
- Cancelled cheque from the bank you wish to link to your trading account.
- Account opening cheque of Rs.300 payable to Crown Money.

Name of the Trading Member: CrownMoney

Name of the Clearing Member: Cash Segment: Crown Money

SEBI Registration Number: NSE CMBP: INB231488611

Depository Participant: IL&FS Securities Services Limited

DP: NSDL: IL&FS Securities Services Limited: IN30095 Crown Money 11687521

DP: CDSL: IL&FS Securities Services Limited: 16014800 Crown Money 00487004

Registered Office Address: CrownMoney

A-302, Rajkamal Co.Op.Hsg. Society, Juhu Versova Link Road, Seven Bungalows,  
Versova, Andheri (West), Mumbai 61.

Website: [www.crownmoney.in](http://www.crownmoney.in)  
[www.crownmoney.co.in](http://www.crownmoney.co.in)

Correspondence Address: Same as above

Compliance Officer Name : Nakul Mullick

Phone No. & Email ID: 9870 05 0002, [compliance@crownmoney.in](mailto:compliance@crownmoney.in)

CEO Name : Nakul Mullick

Phone No. & Email ID : 9870 05 0002, [nakulmullick@yahoo.com](mailto:nakulmullick@yahoo.com)

For any grievance please contact Crown Money the above address or email [complaints@crownmoney.in](mailto:complaints@crownmoney.in) and Phone No. 987005 0001 / 9870050002

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

1. NSE: [ignse@nse.co.in](mailto:ignse@nse.co.in) or contact at 022 26598100

KNOW YOUR CLIENT APPLICATION FORM (INDIVIDUALS)

Crown Money  
A 302 Rajkamal Co.Op.Hsg Society  
Juhu Versova Link Road, Seven Bungalows,  
Versova, Andheri (West), Mumbai 400 061  
SEBI Registration number INB 231488611 Dated 25/5/2013

Please affix your  
Recent passport size  
Photograph and sign across  
it

Client Signature

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

1. Name of the Applicant: \_\_\_\_\_
2. Father's / Spouse Name: \_\_\_\_\_
3. a. Gender: Male  Female   
b. Marital Status: Single  Married  Date of Birth \_\_\_\_\_ (dd/mm/yyyy)
4. a. Nationality \_\_\_\_\_ b. Status: Resident Individual  Non Resident  Foreign National
5. a. PAN: \_\_\_\_\_  
b. Unique Identification Number (UID)/ Aadhaar, if any: \_\_\_\_\_
6. Specify the proof of Identity submitted \_\_\_\_\_

B. ADDRESS DETAILS

1. Address for Correspondence: \_\_\_\_\_  
\_\_\_\_\_  
City /town/village: \_\_\_\_\_ Pin Code: \_\_\_\_\_  
State: \_\_\_\_\_ Country: \_\_\_\_\_
2. Contact Details: Tel (Off) \_\_\_\_\_ Tel (Res.) \_\_\_\_\_ Mobile No. \_\_\_\_\_  
Fax: \_\_\_\_\_ Email ID: \_\_\_\_\_
3. Specify the proof of address submitted for correspondence address: \_\_\_\_\_
4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant)  
\_\_\_\_\_  
City /town/village: \_\_\_\_\_ Pin Code: \_\_\_\_\_  
State: \_\_\_\_\_ Country: \_\_\_\_\_
5. Specify the proof of address submitted for permanent address: \_\_\_\_\_

C. OTHER DETAILS

1. Gross Annual Income Details (Please specify): Income Range per annum:

Below Rs. 1 Lac  1-5 Lac  5-10 Lac  10-25 Lac  > 25 Lacs or

Net Worth as an (date) \_\_\_\_\_ ( \_\_\_\_\_ ) (Net worth should not be older than year)

2. Occupation: (Please tick whichever is applicable)

Private Sector  Public Sector  Government Service  Business  Professional  Agriculturist

Retired  Housewife  Student  Self Employed  Other (Please Specify) \_\_\_\_\_

Brief Details of Nature of Business/ Service \_\_\_\_\_

If Employed:

i. Name of the Employer : \_\_\_\_\_

ii. Office Address : \_\_\_\_\_  
\_\_\_\_\_

iii. Telephone No. \_\_\_\_\_ Fax No. \_\_\_\_\_

If Self Employed / Professional/ Others: \_\_\_\_\_

i. Name of the Establishment : \_\_\_\_\_

ii. Office : \_\_\_\_\_

iii. Address : \_\_\_\_\_

iv. Telephone No. \_\_\_\_\_ Fax No. \_\_\_\_\_

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

**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.

\_\_\_\_\_  
Client Signature

Date: \_\_\_\_\_  
(dd/mm/yyyy)

TRADING ACCOUNT RELATED DETAILS

**A. BANK ACCOUNT DETAILS**

- i. Bank Name: \_\_\_\_\_
- ii. Branch Address: \_\_\_\_\_  
\_\_\_\_\_
- iii. Bank Account No. : \_\_\_\_\_
- iv. Account Type: Savings  Current  Others  In case of NRI Account NRE  NRO
- v. MICR Number: \_\_\_\_\_
- vi. IFSC Code: \_\_\_\_\_

**B. DEPOSITORY ACCOUNT(S) DETAILS**

- i. Depository Participant Name : \_\_\_\_\_
- ii. Depository Name: NSDL  CDSL
- iii. Beneficiary Name: \_\_\_\_\_
- IV DP ID \_\_\_\_\_ BO ID \_\_\_\_\_

**C. PAST ACTIONS**

Details of any action/ proceedings initiated/ pending/ taken by SEBI/ Stock exchange/ any other authority against the applicant/ constituent or it's Partners/ promoters/ whole time directors/ authorized persons in charge of dealing in securities during in last 3 years \_\_\_\_\_

**D. DEALINGS THROUGH SUB-BROPKERS 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: \_\_\_\_\_ Fax: \_\_\_\_\_ Website: \_\_\_\_\_

Whether dealing with any other stock broker/sub-broker

Name of stock broker: \_\_\_\_\_ Name of Sub Broker, if any \_\_\_\_\_

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

Details of dispute/s dues pending from/ to such stock broker/ sub broker: \_\_\_\_\_

**E. TRADING PREFERENCES/ EXPERIENCE**

No Prior Experience \_\_\_\_\_ / Years in equities \_\_\_\_\_ / Years in Derivatives \_\_\_\_\_ /

Years in other investment Related Field \_\_\_\_\_ / \_\_\_\_\_ /

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

	Cash	F&O	Currency Derivatives
NSE			

# If, in future, the client wants to trade on any new segment, a separate authorization/letter should be taken from the client by the broker.



ADDITIONAL DETAILS

i. Whether you wish to receive (a) Physical contract note  (b) Electronic Contract Note (ECN)

If ECN Specify your Email ID: \_\_\_\_\_

ii Whether you wish to avail of the facility of internet trading/ wireless technology/ mobile trading Yes  No

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

G. INTRODUCER DETAILS (optional)

Name of the Introducer: \_\_\_\_\_

Status of the Introducer: Sub-broker/ Remisier/ Authorized Person/ Existing Client: Client ID \_\_\_\_\_

Others please specify: \_\_\_\_\_

Address of the Introducer: \_\_\_\_\_

Phone No. of the Introducer: \_\_\_\_\_

Signature of the Introducer: \_\_\_\_\_

H. NOMINATION DETAILS (Please tick the appropriate option)

I/We do not wish to nominate.

I/We wish to make a nomination and do hereby nominate the following in whom all rights and/ or amount payable in respect of funds in my trading account shall vest in the event of my/ our death.

Name of the Nominee: \_\_\_\_\_ Relationship with the Nominee: \_\_\_\_\_

PAN of Nominee: \_\_\_\_\_ Date of Birth of Nominee: \_\_\_\_\_

Address of the Nominee: \_\_\_\_\_

Phone No. of Nominee: \_\_\_\_\_

If Nominee is a minor, details of Guardian:

Name of Guardian: \_\_\_\_\_ Address of Guardian: \_\_\_\_\_

\_\_\_\_\_

Phone No. of Guardian: \_\_\_\_\_ Signature of Guardian \_\_\_\_\_

WITNESS (Only applicable in case the account holder has made nomination)

Witness Name	Witness Name
Signature :	Signature :
Address :	Address :

\_\_\_\_\_  
Client Signature

## DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/ our knowledge and belief and I/We undertake to inform you of any change therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/ we are aware that I/we may be held liable for it.
2. I/We confirm having read/ been explained and understood the contents of the documents on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the "Rights and Obligations" document(s) and "Risk Disclosure Document". I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents, has been displayed for Information on stock broker's designated website, if any.

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

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

\_\_\_\_\_  
Client Signature

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**FOR OFFICE USE ONLY**

UCC Code allotted to the Client: \_\_\_\_\_

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

*I/We undertake that we have made the client aware of "Policy and Procedures", tariff sheet and all the non mandatory documents. I/We have also made the client aware of "Rights and Obligations" document (s), RDD and Guidance Note. I/We have given/ sent him a copy of all the KYC documents. I/We undertake that any change in the "Policy and Procedures", tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the "Rights and Obligations" and RDD would be made available on my/ our website, if any, for the information of the clients.*

\_\_\_\_\_  
Signature of the Authorized Signatory

Date \_\_\_\_\_

Seal/ Stamp of the stock broker

## Brokerage Rates

MANDATORY

### Brokerage Slab for Cash Market

Delivery Brokerage	Delivery Minimum	Delivery Normal
Intraday Brokerage	Single Side	Both Side
Minimum		
Normal		

### Brokerage Slab for Futures & Options

Futures Brokerage	Single Side	Both Side
Minimum		
Normal		
Options Brokerage	Minimum Brokerage (Rs. Per lot)	Normal Brokerage (on Premium)
Single Side		
Both Side		

### Brokerage Slab for Currency

Currency Brokerage	Single Side	Both Side
Minimum		
Normal		

**Note:**

1. Inter settlement/ DP transaction charges arising out of purchase/ sell transactions affected by constituents will be debited to Constitute Account.
2. The above charges are subject to change by the regulatory authorities or Government agencies.

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

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

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

To,  
Crown Money  
A-302, Rajkamal Co.Op.Hsg. Society,  
Juhu Versova Link Road, Seven Bungalows,  
Versova, Andheri (West), Mumbai 61.

**SUB: UNDERTAKING/ AUTHORISATION**

With respect to Member: Constituent Relationship and Mandatory and Voluntary (optional) Documents executed between us, I/We do hereby authorize Crown Money to do the following:

**1. Order Placement Instructions**

I understand that you require written instructions from me for placing/ modifying / canceling orders. However, since it is not practical for me to give written instructions for placing/modifying/ cancelling order. Even if I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting/ calling/ Emailing the Call centre / branch specified for the said purpose by Crown Money in case of breakdown of Internet connectivity or other similar reasons.

I hereby request you to kindly accept, my, my authorized representative or mandate holder's verbal orders/ instructions, in person or over phone and execute the same. I undertake the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/ Physical contract notes or trade confirmations through SMS and other modes. I indemnify Crown Money and its employees against all losses, Damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my instructions for orders placed verbally.

**2. ERRORS AND OMISSIONS:**

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances Crown Money shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold Crown Money responsible beyond this and claim additional damages/ loss.

I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by Crown Money.

**3. NO MARKET MANIPULATION**

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

**4. NOT TO ACT AS UNREGISTERED SUB BROKER**

I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients in case I wish to deal for other clients also, I undertake to apply to SEBI or the Exchange through Crown Money to obtain a Sub broker Registrations or to obtain approval for authorized person through Crown Money.

In case Crown Money perceives that I am acting as an unregistered sub broker, Crown Money has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to Crown Money without the requirement of any notice from Crown Money. Further, Crown Money has the right to inform the concerned regulatory authorities about the same.

**5. NOT DEBARRED BY ANY REGULATOR**

I confirm and declare that there is no bar on me imposed by any Exchange or any Regulatory and/ or Statutory authority to deal in securities directly or indirectly. I agree to inform Crown money in writing, of any regulatory action taken by any Exchange or Regulatory/ Statutory authority on me in future. In case I fail to inform the same and Crown Money on its own comes to know of such action Crown Money has the right to suspend/ close my trading account and refuse to deal with me.

Also, Crown Money can at its sole discretion, close all the open positions and liquidate collaterals to the extent of debit balances, without any notice to me.

**6. PMLA DECLARATION**

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

I further undertake and confirm that;

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

**7. INDEMNIFICATION**

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

**INDEMNITY OF JOINT HOLDINGS**

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

**8. MUTUAL FUND SERVICE SYSETEM (MFSS) FACILITY**

I am interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Scheme permitted to be dealt with on the MFSS of the Exchange. For the purpose of availing the MFSS facility. I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of MFSS and I/We further confirm that the details contained in same remain unchanged as on date.

I am willing to abide by the terms and conditions as has been specified 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 Fund 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 Scheme with respect to which I choose to subscribe/ redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me.

**9. NRI DECLARATION**

I understand that if the sole/ first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to Crown Money every time the investment is made.

Yours faithfully,

\_\_\_\_\_  
Client Signature

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

Applicant Name: \_\_\_\_\_

**A. THIRD PARTY PAYMENTS**

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

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

**B. NO DEALINGS IN CASH**

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

**C. DISCLOSURE OF PROPRIETARY TRADING BY Crown Money**

Pursuant to SEBI Circular Number SEBI/ MRD/ SEC/ Cir – 42/2003 dated November 19, 2003, Crown Money discloses to its clients about its policies on proprietary trades. Crown Money does proprietary trades in the cash and derivatives segment of NSE, BSE, and MCX- SX.

**D. DELIVERIES**

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

**E. IMPOSITION OF DELAYED PAYMENT CHARGES / SQUARING OFF OF POSITIONS & SALE / LIQUIDATION OF COLLATERAL MARGINS**

The client shall settle the transactions, within the exchange specified settlement time, by making the requisite payment of funds and/ or delivery of the shares.

If there is a delay on the part of the client in satisfying his / her margin obligations then Crown Money levy delayed payment charges at the rate of 2% per month on such short fall for the period of delay on such client. Crown Money shall recover such delayed payment charges from the client by debiting the client's account

In case the client fails to settle the transactions within the settlement date, then Crown money has the right to square off the open and/ or unpaid positions, at an appropriate time, as it deems, fit, without any notice to the client. The client shall not have any right or say to decide on the timing of closure of the open positions that needs to be closed. Crown Money its Directors and Employees shall not be responsible for any loss or damages arising out of such square offs. All such square off transactions shall have implied consent and authorization of the client in favour of Crown Money.

After such square off of open positions by Crown Money as mentioned in above clauses, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balance, Crown Money shall have the right to liquidate the shares and other securities of the client (kept as collateral/ margin) to the extent of the debit balance, without any intimation to the client. The client shall not have the right to decide on the timing of liquidation of shares and securities held in collateral/ margin and the shares and securities that needs to be sold or liquidated. Crown money its Directors and employees shall not be responsible for any loss or damages arising out of such selling.

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Client Signature

**LETTER OF AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES**

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

Crown Money  
A-302, Rajkamal Co.Op.Hsg. Society,  
Juhu Versova Link Road, Seven Bungalows,  
Versova, Andheri (West), Mumbai 61.

Dear Sir,

Sub: Authorisation for Electronic Contract Notes

I/We have been/ shall be dealing through you as may / our broker on the Capital Market an/ or Futures & Options and/ or Current Derivatives and or interest Rate Futures Segments. As my broker i.e. agent I/We direct and authorize you to carry out trading/ dealings on my/ our behalf as per instructions given below:

I/we understand that, I/We have the option to receive the contract notes in physical form or electronic form. In pursuance of the same. I/We hereby apt to receive contract notes in electronic form. I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account/ email id on your record for sending the contract notes to me/ us:

Enter Email ID: \_\_\_\_\_

I/We also agree that non receipt of bounced mail notification by you shall amount to delivery at my/ our email account/ email Id.

I/We agree not to hold you responsible for late/ non receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/ us and such dispatch shall be deemed to mean receipt by me/ us and shall not be disputed by me/ us on account of any non receipt/ delayed receipt for any reason whatsoever.

I/We understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I/We am/ are on internet client then in that event the request for change in email id/ email account can be made by me/ us through or secured access using client specific user Id and password. Please treat this authorization as written ratification of my / our verbal directions/ authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

Thanking you,

Yours faithfully,

\_\_\_\_\_  
Client Signature

**MOBILE DECLARATION**

**DECLARATION FOR MOBILE NUMBER**

I \_\_\_\_\_ having PAN \_\_\_\_\_ do hereby declare that my mobile number is \_\_\_\_\_. Further I authorize Crown Money that the same may be used for giving me any information alert/ SMS.

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

Client Signature

**CLIENT DEFAULTER DECLARATION**

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

I, \_\_\_\_\_ having PAN \_\_\_\_\_ do hereby declare that I have not been involved in any terrorist activities and I have not been declared a defaulter of my name is not appearing in defaulter database as per SEBI / Various Exchange/ Regulatory bodies, etc.

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

Client Signature



**RUNNING ACCOUNT AUTHORIZATION**

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

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

1. I/We request you to maintain running balance in my account and retain the credit balance in any of my / our account and to use the unused funds towards my / our margin/ pay in/ other future obligation (s) at any segment(s) of any or all the Exchange (s) / Clearing corporation unless I/We instruct you otherwise.
2. I/We request you to retain securities with you for my / our margin/ pay in / other future obligation(s) or any segment(s) of any or all the Exchange(s) / Clearing Corporation, unless I/We instruct you to transfer the same to my/ our account.
3. I/ We request you to settle my fund and securities account
  - Once in a calendar month
  - Once in every calendar Quarter except the funds given towards collaterals/ margin in form of Bank Guarantee and/ or Fixed Deposit Receipt.
4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/ funds towards such obligations and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges.
5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/ securities or statement of account or statement related to it, as the case may be at your registered office. After that I/We shall have no right to dispute the transaction, funds and/ or securities ever and agree that you shall not be liable for any incidental loss/ damage caused due to retention of funds and/ or securities.
6. I / We confirm you that I can revoke the above mentioned authority at any time.

Thanking you,

Yours faithfully,

Client Signature

**SELF DECLARATION – DERIVATIVES TRADING (VOLUNTARY)**

(To be filed if Documentary Evidence is not furnished by clients trading in Capital / Derivatives Market Segment)

From:

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

Mr. / Mrs. Ms \_\_\_\_\_

To,  
The Manager,  
Crown Money  
A-302, Rajkamal Co.Op.Hsg. Society,  
Juhu Versova Link Road, Seven Bungalows,  
Versova, Andheri (West), Mumbai 61.

Dear Sir n/ Madam,

**Sub: Self- Declaration on Income and Net Worth furnished pursuant clause 47 of MCA.**

Ref: Application No. / Client Code: \_\_\_\_\_ submitted for registration of trading and investments.

With reference to the above document submitted, I do hereby declare and affirm the following:

1. I have been allotted the PAN: \_\_\_\_\_ a self-attested copy of which has been submitted to you as one of the mandatory KYC documents.
2. For the Financial Year ending 31<sup>st</sup> March \_\_\_\_\_ my Annual Income was approximately Rs. \_\_\_\_\_ for which except this Self Declaration letter, no other documentary proof is provided to you.
3. As on date \_\_\_\_\_ my net worth is approximately Rs. \_\_\_\_\_ for which, except this self declaration letter, no other documentary proof is provided to you.
3. I further declare that the transactions I am entering into with you in the above trading account is commensurate with my Income and Net Worth and I am fully aware of risks associated with these transactions.
4. The ownership and risk of justification and substantiating regarding the above declaration with any of the Statutory / Authorities/ Agencies will be my Own.

Client Signature

Client's Name: \_\_\_\_\_

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