



**LGT Capital Markets
Private Limited**

**TRADING
AND DEMAT
ACCOUNT OPENING
FORM- INDIVIDUAL**



Client Code _____
Client Name _____
DP Id and Client Id 12101500 and _____
DP Internal Reference _____

Version 1 - July 2025

INDEX OF DOCUMENTS

A - MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
1	Account opening form	KYC form - Document captures the basic information about the constituent along with an instruction/check list for filling KYC form.	5
		Document captures the additional information about the constituent relevant to trading account.	19
		Nomination form.	23
		Declaration form for opting out of nomination.	25
2	Tariff sheet	Document detailing the rate / amount of brokerage and other charges levied on the Client for trading on the stock exchange(s).	26
3	Policies and procedures	Document describing significant policies and procedures of the stock broker.	27
4	Terms and conditions	Most important terms and conditions (MITC).	40
5	Application for demat account	Additional KYC details for opening a demat account.	41
6	Tariff sheet	Document detailing the schedule of DP charges levied on the Client for demat account.	54
7	FATCA declaration	FATCA declaration.	55
STANDARD DOCUMENTS FOR DP, EQUITIES, DERIVATIVES & MARGIN TRADING FACILITY			
8	Rights and obligations of beneficial owner and Depository participant	Rights and obligations of beneficial owner and Depository Participant as prescribed by SEBI and depositories.	
9	Rights and obligations	Document stating the rights & obligations of stock broker/ trading member, authorised person and Client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading).	
10	Risk disclosure document (RDD)	Document detailing risks associated with dealing in the securities market.	
11	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
B- VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER & Depository PARTICIPANT			
12	Demat debit and pledge instruction (DDPI) authorisation	DDPI provided to broker to facilitate payin of securities and other authorizations.	57
13	Authority to retain funds as running account for all exchanges	Authorisation to maintain running account of funds instead of settlement-to-settlement for Client's operational convenience.	59

Provided Through Separate Handbook
Standard documents are available on the website:
<https://www.lgtindia.in/en/lgt-capital-markets>

14	Authorization for receipt of contract notes and other documents in digital mode	Authorisation to send digitally signed contract notes & other documents through electronic media instead of physical mode.	61
15	Voluntary clauses (Terms & conditions) - Annexure A	Additional clauses other than specified by SEBI to facilitate transactions of Client.	63
16	Security trading through internet & wireless technology authorisation	Letter for securities trading using internet & wireless technology.	68
		Internet Trading - Terms and Conditions	69
17	Mandate to recover demat account charges	Authority to recover demat charges from the trading account maintained with the broker.	71
18	Consent for receiving sms / email alerts from concerned stock exchanges/ depositories	Consent to receive alerts from stock exchanges & depositories for the transactions	72
19	Family declaration – email/ mobile updation in family codes (Compulsory in case having common email & mobile in more than one A/C in LGT Capital Markets Private Limited)	Declaration of same email/mobile number for family members.	73
20	NRI declaration	Declaration of the complete address of NRI where the address is PO box as per address proof.	74
21	Declaration of additional names as per other valid documents	Declaration of name where the name differs as per pan card and OVD proof.	75
22	Declaration of related companies	Declaration of companies where the Client has interest as defined in SEBI (Prohibition of Insider Trading) regulations.	76
23	Aadhaar consent	Consent to share Aadhaar details.	77

Name of stock broker/ trading member/ clearing member/ Depository participant	LGT Capital Markets Private Limited
CIN number	U66120MH2024PTC418285
SEBI registration no. NSE/ BSE and date	INZ000319637 and August 28, 2024
Member	NSE-90395-CASH and F&O BSE-6877-CASH
NCL-clearing	M70104
DP-CDSL SEBI registration no. and date	IN-DP-793-2025 and February 17, 2025
DP ID	12101500
Registered office address	201/202, Kanakia Wallstreet, Wing B, Andheri Kurla Road, Andheri East, Mumbai-400093
Correspondence office address	201/202, Kanakia Wallstreet, Wing B, Andheri Kurla Road, Andheri East, Mumbai-400093
Wholetime director/ Designated director	Atul Singh Mobile No.: 9820681436 Email id: atul.singh@lgtindia.in
Wholetime director/ Designated director	Surendhren Manayath Mobile No.: 9769009200 Email id: surendhren.manayath@lgtindia.in
Name of compliance officer	Dinesh Tanwar Mobile No.: 9987635146 Email id: dinesh.tanwar@lgtindia.in
Refer the link for accessing the forms, standard documents and other broker details of LGT Capital Markets Private Limited	Website. www.lgtindia.in/en/lgt-capital-markets

Disclaimer

Investment in the securities market is subject to market risks. Read all the related documents carefully before investing. Registration granted by the Securities and Exchange Board of India ("SEBI") and certification from NISM is no way to guarantee performance of the intermediary or provide any assurance of returns to investors.

Investor Complaint Redressal

For any grievance or dispute, please contact our team through any of the following channels:

Address:

LGT Capital Markets Private Limited
201/202, Kanakia Wallstreet, Wing B, Andheri Kurla Road, Andheri East, Mumbai-400093

Email:

For stock broking-related disputes: grievances.lgtcapital@lgtindia.in
For DP-related disputes: Dpgrievances.lgtcapital@lgtindia.in

Phone: +91-22-65363335

In case not satisfied with the response please contact the concerned Stock Exchange(s) / Depository at the details provided below:

Sr. No.	Exchange / DP	Email Id	Contact No.
1	National Stock Exchange of India Limited	ignse@nse.co.in	1800 266 0050
2	BSE Limited	isc.mumbai@bseindia.com	022 2272 8517
3	Central Depository Services (India) Limited	complaints@cdslindia.com	080-69144800

Investor Grievance Redressal Mechanism

If you have any grievances, you may lodge your complaint with SEBI through the SCORES platform at <https://scores.sebi.gov.in/>.

For queries, feedback, or assistance, please contact SEBI's Toll-Free Helpline:
1800 22 7575 / 1800 266 7575

Alternatively, you can visit the nearest SEBI office. The details of the regional office are as follows:

Office of Investor Assistance & Education

Securities and Exchange Board of India (SEBI)
Plot No. C 4-A, G Block, Near Bank of India, Bandra Kurla Complex, Bandra (East), Mumbai,
Maharashtra - 400051

If your grievance remains unresolved, you can escalate it through the **Online Dispute Resolution (ODR)** platform, **SMART ODR**, accessible at: <https://smartodr.in/login>.

CHECKLIST TABLE FOR INDIVIDUAL ACCOUNT OPENING

Important Notes:

1. Requirements are as per CDSL, CVL, CKYC and SEBI guidelines
2. Income Proof is mandatory to deal in Non-Cash Segments
3. PAN Card is mandatory for opening the account

The respective documents submitted should be as per the requirements mentioned	
Document Type	
ID Proof	Passport / Driving License / Voter ID / Aadhaar Card
Address Proof	Passport / Driving License / Voter ID / Aadhaar Card
Bank Proof	Cancelled Cheque / Bank Passbook / Bank Statement / Bank Verification on Bank Letterhead
Income Proof	Copy of Income Tax Return / Copy of Annual Accounts / Copy of Form 16 (Salary Certificate) / Net worth Certificate / Demat Holding Statement / Bank Statements for last 6 months
Signature Proof	Passport / Driving License / Bank Verification Letter / Pan Card

Trading & Demat Account Checklist (Individual / NRI)							
Required Validation	ID Details			Address Details		Bank Details	
Proofs	Name	Sign	Photo	Correspondence Address	Permanent Address	Bank Name & A/c No.	MICR / IFSC Code
Passport *	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Driving Licence *	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Voter ID	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
UID (Aadhaar)	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Cancelled Cheque (With Client name & A/c No. Printed)						<input type="checkbox"/>	<input type="checkbox"/>
Bank Verification Letter (Original)				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

*The Proof should be valid on the DATE.

Proof Of Financial Details, any one				
<input type="checkbox"/> Copy of Income Tax Return	<input type="checkbox"/> Copy of Annual Accounts	<input type="checkbox"/> Copy of Form 16 (Salary Certificate)		
<input type="checkbox"/> Net Worth Certificate	<input type="checkbox"/> Demat Holding Statement	<input type="checkbox"/> Bank Statements for last 6 months		
Proof For Existing Demat Account Holders				
<input type="checkbox"/> DP Statement (Latest not older than 3 months)	<input type="checkbox"/> Client Master Report (CMR)			
1. Clients name & DP A/c No. on the proof of DP should match with that mentioned in the account opening form. 2. DP statement should clearly show DP ID & Client ID.				
Proofs For NRI (Non Resident Indian)				
1. PAN card 2. Valid Passport / PIO Card / OCI Card as proof of Identity. Proof of Foreign Address and Indian Address (If any) 3. Bank A/c should be either Repatriable Bank A/c for NRE OR Non-Repatriable A/c for NRO Status. 4. Proof of Demat Account should be only with NRI status. 5. Permission for dealing in securities from Authorized Dealer (Bank) / RBI.				

Watch Outs / Last Minute Revision

1. All details to be filled in **Capital Block letters in Black / Blue Ink Only** and do have:
 - a. Signature at places against the ✍ symbols.
 - b. Address - as it appears on the address proof. In case permanent & correspondence addresses are different, make sure to provide address proof for both of them.
 - c. N. A. mentioned at all places not applicable to the Client.
2. White ink is not allowed either on the form or the agreement. All corrections to be countersigned with full signature.
3. All proofs and photographs on the form should be clearly visible and should be self attested by Client.
4. In case of DP in joint names, ID & address proof should be provided for the 2nd & 3rd Holder also.

Instructions to the Applicants (BOs) for account opening

1. Signatures can be in English, Hindi, or any of the other languages listed in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
3. Signatures should be preferably in black/blue ink.
4. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified-copy thereof, must be lodged along with the application.
5. All correspondence / queries shall be addressed to the first / sole applicant.
6. Strike off whichever option, in the account opening form, is not applicable.

A. General Instructions

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 Section E.
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 addresses 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 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/by a foreign country e.g., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

B. Proof of Identity (POI)

- a. Officially valid document (OVD) defined as per Rule 2 (d) of Prevention of Money-Laundering (Maintenance of Records) Rules, 2005 (PML Rules):
 - i. The passport.
 - ii. The driving licence.
 - iii. Proof of possession of Aadhaar number.
 - iv. The Voter's Identity Card issued by Election Commission of India.
 - v. Job card issued by NREGA duly signed by an officer of the State Government.
 - vi. The letter issued by the National Population Register containing details of name address or
 - vii. Any other document as notified by the Central Government in consultation with the Regulator.
- b. Further, in terms of proviso to the above Rule, where simplified measures are applied for verifying the identity of the Clients. The following documents shall also be deemed to be officially valid document.
 - i. Identity card/ document with applicant's photo, issued by the Central/State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks and Public Financial Institutions.
 - ii. Letter issued by a gazetted officer, with a duly attested photograph of the person.

C. Proof of Address (POA)

- a. "Officially valid document" defined as per Rule 2 (d) of Prevention of Money-Laundering (Maintenance of Records) Rules, 2005 (PML Rules):
 - i. The passport;
 - ii. The driving licence;
 - iii. Proof of possession of Aadhaar number;
 - iv. The Voter's Identity Card issued by Election Commission of India;
 - v. Job card issued by NREGA duly signed by an officer of the State Government;
 - vi. The letter issued by the National Population Register containing details of name, address; or
 - vii. Any other document as notified by the Central Government in consultation with the Regulator.
- b. Further, in terms of Rule 9(18) of PML rules, 2005, in case the officially valid document furnished by the Client does not contain updated address, the following documents (or their equivalent e-documents thereof) shall be as deemed to be officially valid document for the limited purpose of proof of address, provided that the Client shall submit updated officially valid document (or their equivalent e-documents

thereof) with current address within a period of three months of submitting the following documents:

- i Utility bill which is not more than two months old of any service provider (electricity, telephone, postpaid mobile phone, piped gas, water bill);
- ii Property or municipal tax receipt;
- iii Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address;
- iv Letter of allotment of accommodation from employer issued by state or central government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.

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

The following are exempted from the mandatory requirement of PAN:

- i Transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc. (under the category of Government) for transacting in the securities market.
- ii. Investors residing in the state of Sikkim.
- iii. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- iv. SIP of Mutual Funds upto ₹50,000/- per year.

In case there is change in the name subsequent to issuance of PAN of the Client, registered intermediaries can collect the PAN card proof as submitted by the Client provided it is supported by a marriage certificate issued by the State Government or gazette notification, indicating such a change of name.

The e-PAN issued by Central Board of Direct Taxes (CBDT) can also be produced by Client for KYC compliance. e-PAN is a digitally signed PAN card issued in electronic format by the Income-tax department.

E. List of people authorized to attest the documents

1. Notary Public, Gazette 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. Online Mode Processing of KYC

Online KYC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
- Intermediary attestation on documents (OSV) is exempted.

List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two- digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

B. Permanent residence address of applicant, if different from above A / Overseas Address*(Mandatory for NRI Applicant) ☐ Same as per Correspondence/Local Address

Line 1*

Line 2

Line 3

City/Town/Village* _____ District* _____ Pin Code* _____

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

Address Type*

☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified**Proof of Address** (attested copy of any 1 POA for correspondence and permanent address each to be submitted) Certified copy of OVD or equivalent e-document of OVD obtained through digital KYC process needs to be submitted. (Any one of the following OVD)☐ A - Aadhaar Card

XXXXXX XXXX

☐ B - Passport Number

(Expiry Date) _____

☐ C - Voter ID Card☐ D - Driving License

(Expiry Date) _____

☐ E - NREGA Job Card☐ F - NPR Letter

(National Population Registered Letter)

☐ G - EKYC Authentication☐ H - Offline verification of Aadhaar☐ I - Others

(any document notified by Central Government)

Identification Number _____

3. Contact Details (in Capital) - (All communications will be sent to Mobile No. / Email Id)

Email ID* _____

Mobile No.* _____

Tel (Off) _____

Tel (Res) _____

4. Applicant Declaration

1. I hereby declare that the KYC details furnished by me are true and correct to the best of my/our 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 declare that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time. I hereby authorise sharing of the information furnished on this form with all SEBI registered KYC Registration Agencies/SEBI Registration Intermediaries / CERSAI.
2. I hereby consent to receiving information from CVL KRA & CKYC through SMS/Email on the above registered number/email address.
3. I confirm & provide consent to LGT Capital Markets Private Limited to fetch my/our KYC details & supporting documents from KYC (Know Your Client) Registration Agency (KRA)/ CERSAI (CKYC). I understand that notifications of the same will be received from the KRA/ CERSAI (CKYC) on my registered mobile & e-mail Id captured in KRA/ CERSAI (CKYC) records.
4. I hereby authorise LGT Capital Markets Private Limited to disclose, share, rely, remit in any form, mode or manner, all/any of the information provided by me, including all changes, updates to such information as and when provided by me to any Indian or foreign governmental or statutory or judicial authorities/ agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax/ revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorise to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI/RBI/IRDA/ PFRDA to facilitate single submission/update & for other relevant purposes. I also undertake to keep you informed in writing about any changes/modification to the above information in future within 30 days and also undertake to provide any other additional information as may be required at your end or by domestic or overseas regulators/tax authorities.
5. I consent LGT Capital Markets Private Limited to share my details with LGT Capital Markets

Private Limited's parent company, subsidiaries, sister concerns, and with such other service providers, having service level agreement with LGT Capital Markets Private Limited/ parent company/ Subsidiaries/ Sister concerns for running and operating its business activities.

Client's Signature	
Client Name	

Date:

Place: _____

5. For Office Use Only

In-Person Verification (IPV) carried out by		Intermediary Details
Name of the Organization		<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) CERSAI Code: _____
NSE / BSE Registration Number		
Person name doing IPV / docs / PAN verification		
Designation / LGT Capital Markets Private Limited Employee code		LGT Capital Markets Private Limited
Date of IPV / Document Verification		
Signature of the Person		
Please Affix Rubber Stamp & Sign		

B. Permanent residence address of applicant, if different from above A / Overseas Address*(Mandatory for NRI Applicant) ☐ Same as per Correspondence/Local Address

Line 1*

Line 2

Line 3

City/Town/Village* _____ District* _____ Pin Code* _____

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

Address Type*

☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified**Proof of Address** (attested copy of any 1 POA for correspondence and permanent address each to be submitted) Certified copy of OVD or equivalent e-document of OVD obtained through digital KYC process needs to be submitted. (Any one of the following OVD)☐ A - Aadhaar Card☒ XXXXXXXXXX☐ B - Passport Number(Expiry Date) ☐ C - Voter ID Card☐ D - Driving License(Expiry Date) ☐ E - NREGA Job Card☐ F - NPR Letter

(National Population Registered Letter)

☐ G - EKYC Authentication☐ H - Offline verification of Aadhaar☐ I - Others

(any document notified by Central Government)

Identification Number _____

3. Contact Details (in Capital) - (All communications will be sent to Mobile No. / Email Id)

Email ID* _____

Mobile No.* _____

Tel (Off) _____

Tel (Res) _____

4. Applicant Declaration

- I hereby declare that the KYC details furnished by me are true and correct to the best of my/our 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 declare that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time. I hereby authorise sharing of the information furnished on this form with all SEBI registered KYC Registration Agencies/SEBI Registration Intermediaries / CERSAI.
- I hereby consent to receiving information from CVL KRA & CKYC through SMS/Email on the above registered number/email address.
- I confirm & provide consent to LGT Capital Markets Private Limited to fetch my/our KYC details & supporting documents from KYC (Know Your Client) Registration Agency (KRA)/ CERSAI (CKYC). I understand that notifications of the same will be received from the KRA/ CERSAI (CKYC) on my registered mobile & e-mail Id captured in KRA/ CERSAI (CKYC) records.
- I hereby authorise LGT Capital Markets Private Limited to disclose, share, rely, remit in any form, mode or manner, all/any of the information provided by me, including all changes, updates to such information as and when provided by me to any Indian or foreign governmental or statutory or judicial authorities/ agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax/ revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorise to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI/RBI/IRDA/ PFRDA to facilitate single submission/update & for other relevant purposes. I also undertake to keep you informed in writing about any changes/modification to the above information in future within 30 days and also undertake to provide any other additional information as may be required at your end or by domestic or overseas regulators/tax authorities.
- I consent LGT Capital Markets Private Limited to share my details with LGT Capital Markets

Private Limited's parent company, subsidiaries, sister concerns, and with such other service providers, having service level agreement with LGT Capital Markets Private Limited/ parent company/ Subsidiaries/ Sister concerns for running and operating its business activities.

Client's Signature	
Client Name	

Date:

Place: _____

5. For Office Use Only

In-Person Verification (IPV) carried out by		Intermediary Details
Name of the Organization		<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) CERSAI Code: _____
NSE / BSE Registration Number		
Person name doing IPV / docs / PAN verification		
Designation / LGT Capital Markets Private Limited Employee code		LGT Capital Markets Private Limited
Date of IPV / Document Verification		
Signature of the Person		
Please Affix Rubber Stamp & Sign		

Private Limited's parent company, subsidiaries, sister concerns, and with such other service providers, having service level agreement with LGT Capital Markets Private Limited/ parent company/ Subsidiaries/ Sister concerns for running and operating its business activities.

Client's Signature	
Client Name	

Date:

Place: _____

5. For Office Use Only

In-Person Verification (IPV) carried out by		Intermediary Details
Name of the Organization		<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) CERSAI Code: _____
NSE / BSE Registration Number		
Person name doing IPV / docs / PAN verification		
Designation / LGT Capital Markets Private Limited Employee code		LGT Capital Markets Private Limited
Date of IPV / Document Verification		
Signature of the Person		
Please Affix Rubber Stamp & Sign		

Additional information relevant to Trading account

Bank Account(s) Details of Sole/First Holder

Bank Name																														
Branch Name																														
Branch Address																														
Bank A/c No.																														
A/c Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others _____																													
MICR Number											IFSC Code																			
Proof of Bank submitted	<input type="checkbox"/> Bank Statement <input type="checkbox"/> Cancelled Cheque (with Client name and A/c no. printed) <input type="checkbox"/> Bank Passbook <input type="checkbox"/> Bank Verification Letter (original)																													

P. N.: In case of NRI's, Bank Account should be Repatriable Bank Account for NRE or Non Repatriable Bank Account for NRO.

Depository Account(s) Details (If Existing)

Depository Participant Name																														
Depository Name	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL																													
DP ID CDSL	12101500										Beneficiary ID (BO ID)																			
DP ID NSDL											Beneficiary ID (BO ID)																			
Beneficiary Name																														
Second Holders Name																														
Third Holders Name																														
Proof of DP submitted	<input type="checkbox"/> DP Statement <input type="checkbox"/> Client Master Report (CMR)																													

1) Clients name & DP A/c No. on the proof of DP submitted should match with that mentioned in the account opening form.

2) DP statement should clearly show DP ID & Client ID.

Trading Preference

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

NSE Cash Segment	BSE Cash Segment	NSE F&O Segment
✍	✍	✍

If, you do not wish to trade on any Exchanges and any of its segments, Please mention here _____

Client's Signature	✍
Client Name	

Date:

Place: _____

Documentary evidence of financial details for derivative Clients (mandatory in case of derivatives trading) (any one)

- ☐ Copy of ITR acknowledgement ☐ Bank account statement for last 6 months
☐ Copy of annual accounts ☐ Copy of Form 16
☐ Net Worth certificate ☐ Salary slip
☐ Copy of demat account holding statement of assets
☐ Self declaration with relevant supporting documents
☐ Any other relevant documents substantiating ownership

Other Details

Gross Annual Income Details Or Net-worth in ₹.	(Please tick (✓)) <input type="checkbox"/> Upto 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 _____ (*Net worth should not be older than 1 year) As on (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"/>
In case of NRIs/ Foreign Nationals RBI Approval Reference Number _____ RBI Approval date _____	
Occupation	(Please tick (✓) any one and give brief details): <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Other source of Income (Please specify) _____
PEP	<input type="checkbox"/> Politically Exposed Person <input type="checkbox"/> Related to a Politically Exposed Person <input type="checkbox"/> Not a Politically Exposed Person (PEP) <input type="checkbox"/> Not related to a Politically Exposed Person (PEP) For definition of PEP, please refer guideline relating to Instructions/Checklist for filling KYC form
Any Other Information	_____

Past Actions

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

Dealings Through Other Stock Brokers

If you are dealing with any other Stock Broker / Authorised Person, provide the following details: (in case dealing with multiple Stock Brokers / Authorised Person, provide details of all)

Name of Stock broker	<input type="text"/>	Client Code	<input type="text"/>
Name of Authorised Person	<input type="text"/>	Exchange	<input type="text"/>
Details of disputes/dues pending from/to such Stock broker / Authorised Person _____			

Additional Details

Facilities For Trading

Contract Note and
Standard Documents
Communication Mode }

Investment/Trading Experience

Any other information

Whether you wish to avail the facility of ☐ Internet trading ☐ Wireless technology (Mobile Trading)

Whether you wish to receive

☐ in Electronic Form (Email id same as mentioned on KRA Page)☐ in Physical Form

Years in Stocks _____

Years in Derivatives _____

Years In Commodities _____

Years in Other investment related fields _____

No Prior Experience _____

Introducer Details (Optional)

Name of the Introducer

Address

Status of the Introducer

☐ Authorised Person☐ Existing Client☐ Others _____

Phone no.

Introducer's Signature

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 document on policy and procedures of the stock broker and the tariff sheet.
3. I further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document', and the 'Guidance Note – Dos & Don'ts'. 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 <https://www.lgtindia.in/en/lgt-capital-markets>.

Client's Signature

Client Name

Date:

Place: _____

For Office Use Only

UCC Code: [] [] [] [] [] [] [] []
 Client ID: [] [] [] [] [] [] [] []
 Registered Date: [] [] [] [] [] []

1. A) Client Interviewed by
B) In person verification done by
 2. Document Verified with original
- ☐ (Original Verified) True Copy of documents received
- ☐ (Self - Attested) Self Certified documents copies received

Name of the Organization		Please Affix Rubber Stamp & Sign
Person name doing IPV / docs / PAN verification		
Designation / LGT Employee code		
Date of IPV / Document Verification		
Signature of the Person		

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, '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 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the Clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the Clients.

Date:

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

Place: _____

For LGT Capital Markets Private Limited

Authorised Signatory

Nomination Form for Broking Accounts

LGT Capital Markets Private Limited 201/202, Kanakia Wallstreet, Wing B, Andheri Kurla Road, Andheri East, Mumbai-400093	Form for Nomination
--	----------------------------

Date <input type="text"/>	UCC <input type="text"/>
----------------------------------	---------------------------------

I wish to make a nomination. (As per details given below)

Nomination Details			
I wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my account in the event of my death.			
Nomination can be made upto three nominees in the account		Nominee 1	Nominee 2
1	Name of the nominee(s) (Mr./Ms.)		
2	Share of each Nominee Equally [If not equally, please specify percentage]		
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	Email 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"/> Aadhaar <input type="checkbox"/> Saving Bank account 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)			
	City / Place:			
	State & Country:			
	PIN Code			
11	Mobile/ Telephone no. of Guardian #			
12	Email ID of Guardian #			
13	Relationship of Guardian with nominee			
14	Guardian 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"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			

Client's Signature	
Client Name	

Date:

Place: _____

Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

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

Witness 1 Signature	
Witness 1 Name	

Witness 2 Signature	
Witness 2 Name	

Date:

Place: _____

Declaration Form for opting out of Nomination

To,

LGT Capital Markets Private Limited201/202, Kanakia Wallstreet, Wing B,
Andheri Kurla Road, Andheri East,
Mumbai-400093Date UCC

Sole/First Holder Name

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

Client's Signature

Client Name

Date:

Place: _____

Brokerage Tariff

For Cash Segment (BSE & NSE)

Intraday Square Off (%) both sides included (Buy + Sell)	Delivery (%)
_____ %	_____ %

For F&O Segment (NSE And BSE)
--

Futures (%)	Options
Intraday square off both sides included (Buy + Sell) / Carry Forward	Each leg
_____ %	Rs. _____ per lot

'LGT Capital Markets Private Limited shall levy a minimum brokerage of ₹0.01 per traded quantity per scrip per transaction, or the applicable brokerage as per the agreed brokerage slab, whichever is higher.'

Brokerage for Liquid ETFs will be charged at Rs. 0.01 per traded quantity per scrip per transaction.

Note: Apart from brokerage, LGT Capital Markets Private Limited. will recover other statutory charges such as GST on brokerage and Transactions Charges, Exchange Transactions Charges, Stamp Duty, Security Transaction Tax (STT) etc. as may be applicable from time to time.

LGT Capital Markets Private Limited reserves the rights to change the brokerage as well as other tariff from time to time under advance intimation to Clients of at least 30 days.

Client's Signature	
Client Name	

Date:

Place: _____

Policies and Procedures

This document is issued pursuant to LGT Capital Markets Private Limited (the "LGT Capital" or "Company" or "Member" or "Stock Broker") registration with Securities and Exchange Board of India (SEBI) as a stock broker with National Stock Exchange of India Limited (for Cash and F&O segment), BSE Limited (for Cash segment) (collectively and / or individually referred as "Exchange") (Disclosures pursuant to SEBI Circular bearing Reference No. MIRSTD/SE/CIR-19/2009 dated 3- 12-2009)

The underlying document outlines various policies and procedures the Company has framed with respect to its dealing with Clients for Capital market transactions to ensure transparency and facilitate understanding of various aspects related to service delivery.

Kindly note that the stated policies and procedures are subject to change from time to time, depending upon our internal risk management framework, market and external environment and will be updated on the LGT Capital's website.

1. Policy for penny stock / securities

Refusal of order(s) from the Clients including for Penny Stocks:

LGT Capital Market Private Limited offers trading in most of the stocks / contracts which are listed or permitted for trading by the Stock Exchanges. However, LGT Capital discourages/restricts trading in Penny Stocks by the Clients as they are susceptible to manipulation and risky for investors and in turn to LGT Capital.

"Penny Stocks" for this purpose shall include:

- Stocks appearing in the list of illiquid securities including stocks appearing in GSM and ASM List issued by the Exchanges from time to time.
- Scrips having large bid-ask spreads, low market Capitalization due to unsound fundamentals and 'Z' Group Securities which have high chances of manipulations.
- Any securities as may be restricted for trading by Exchanges.
- Any other securities which do not meet LGT Capital internal risk and surveillance criteria or which as per LGT Capital perception are volatile or subject to market manipulation or have concentration risk at Client level or at the company level are not permitted for trading.

As a part of internal Risk Management, LGT Capital may allow Clients to buy/ sell in Penny Stocks only on the basis of 100% upfront margin and on delivery basis and/or with some other criteria from time to time. Further, LGT Capital have/may have in place other restrictions in terms of quantity/ value in each/ all Penny Stocks together as notified from time to time.

Further in case of Internet/ Mobile Trading Clients, LGT Capital may at any time at its sole discretion block/restrict the Client's online trading terminal to prevent the Client from placing orders in above Penny Stocks through the Online Trading Platform of LGT Capital. It may also happen that Client acquires Penny Stocks through our Online Trading system or otherwise, however these get blocked at the time of selling those Penny Stocks. LGT Capital shall not be held liable/responsible for restricting/ prohibiting trade in Penny Stocks at any time. The Client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the Client alone.

In addition to Penny Stocks, LGT Capital may at any time, at its sole discretion and without any prior notice, deactivate scrips from trading that do not meet LGT Capital's internal risk and/or surveillance criteria, thereby restricting the Client's ability to trade in the scrip(s). LGT Capital may refuse any order or transactions in respect of certain securities or segments which may be below/ above certain value/ quantity as may be decided by LGT Capital from time to time without assigning any reasons. LGT Capital will not be held responsible for any losses arising due to deactivation of the scrip / refusal or delay in providing limit.

2. Setting up Client's exposure limits

As part of risk management, LGT Capital shall set Client's exposure limits depending on the type of approved securities provided as Margin Pledge in terms of SEBI/Exchanges Circulars / available funds in the Client's ledger plus Fixed Deposits/ Bank Guarantees provided by the Client (if permitted as per internal Risk Management) and the Client profile/ financial status.

Exposure limits are also set based on categories of Clients/stocks/position (derivatives) Client can trade. Securities that are acceptable as margin, their categorization and applicable haircut may be changed by LGT Capital from time to time at its sole discretion depending upon the internal risk management and/or surveillance criteria. LGT Capital may from time to time change the applicable haircut or apply a haircut higher than that specified by the Regulators/Exchanges on the approved list of securities as part of its Risk Management.

Further Client categorization/profiling may also be changed based on various factors including trading pattern of Clients, financial status of Client etc.

Subject to the Client's exposure limits, Client may trade in securities and/ or take positions in the futures and options segment. Client shall abide by the exposure limits, if any, set by LGT Capital, the Exchange, Clearing Corporation and SEBI from time to time. Limits/ Exposure provided shall vary based on the intraday/ delivery/ carry forward positions made by the Client. The exposure limits set by LGT Capital does not by itself create any right for the Client and are liable to be withdrawn at any time without notice and the Client shall bear the loss on account of withdrawal of such limits. The Client agrees to compensate LGT Capital in the event of LGT Capital suffering any loss, harm or injury on account of exposure given and/or withdrawn. In case of sale of Securities, such sale may at the discretion of LGT Capital be provided only to the extent of the availability of securities in the demat account of the Client. Further the credit received against sale may be used for further exposure as may be decided by LGT Capital from time to time after taking in account Clearing Corporations and Exchanges Circulars issued from time to time.

In case of derivatives, Clients shall be allowed to trade only up to the applicable Client wise position limits set by the Clearing Corporations/Exchanges from time to time. LGT Capital may from time-to-time demand additional margin from the Client in the form of funds or securities and the Client shall be required to provide the same. LGT Capital have a margin-based Risk Management system. Client Exposure Limits are set based on collateral and funds deposited by the Client in their respective Trading accounts. LGT Capital is entitled to include/appropriate any/all pay out of funds &/or securities towards margin/security without requiring specific authorizations for each payout. LGT Capital is entitled to transfer funds &/or securities from Client account for one exchange/clearing corporation &/or one segment of the exchange/clearing corporation to his/her account for another exchange/clearing corporation &/or another segment of the same exchange/clearing corporation whenever applicable and found necessary by LGT Capital. LGT Capital may at its discretion deposit Client margin money in fixed deposits with Banks. Interest received on such fixed deposits shall not be passed to the Client.

3. Policy on brokerage rate and other charges

- The brokerage charge to the Clients will not be more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant Exchange / SEBI.
- In consideration of providing broking and allied services, the Client agrees to pay to LGT Capital, brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that LGT Capital renders to the Client.
- The brokerage and other charges (if any) shall be communicated to the Client at the time of registration and any variation thereon would be duly advised / mutually agreed from time to time.
- The Client shall also be liable to pay Goods & Service Tax (GST), Stamp Duty, Securities Transaction Tax, any statutory tax as applicable from time to time in addition to brokerage charge as agreed and or communicated to the Client.
- The Client also agrees to pay LGT Capital for added services/facilities/ features as they may apply to his account, and which will be communicated to the Client.

4. Imposition of penalty & delayed payment charges

The Client shall pay to LGT Capital brokerage, commission, fees, account opening/ maintenance charges, charges for availing special facility(as provided or shall be provided by LGT Capital) for mobile broking /SMS facility or any other charges as may be applicable and mutually agreed and or communicated to the Client, inter settlement charges, auction charges, penalties levied by the exchanges for Client limit violation, charges for dishonor of cheque(s) given by the Client, statutory levies, GST , and other taxes and trade/transaction expenses including inter alia Depository charges, settlement charges etc. as are applicable from time to time. If the Client fails to make payment of the amount due within the

time frame specified by the Bye-laws, Rules and Regulations of the Exchange and/or as per the policy of LGT Capital, LGT Capital shall be entitled to levy such charges by way of penalty or delayed payment charges not exceeding 24% per annum (or such other rate as may be decided from time to time by LGT Capital at its own discretion without any notice to the Clients on amount due as LGT Capital may deem fit to deter them from delaying the payment in future. The Client authorizes LGT Capital to directly debit the charges to the Client trading account and to set off a part or whole of the collateral/ ledger balances i.e. by way of appropriation of the relevant amount of cash or by way of sell or transfer of all or some of the securities, without notice, or invoke the pledged shares placed as margin/ collateral with LGT Capital, and/ or any credit in any account of the Client in any of the segment of the Stock Exchange, against the outstanding/dues, to the extent of settlement / margin obligation in the account of the Client for any segment of the Stock Exchanges. The adjustment, so done, shall be by way of a passing necessary journal voucher entries.

Where LGT Capital has accepted the securities with appropriate haircut for margin purpose from the Client but has to deploy its own funds for meeting Cash portion of margin requirement of the Client at the Exchange/Clearing Corporation, LGT Capital may levy delayed payment charges on such short in cash margin portion at such a rate not exceeding 24% per annum. This rate may subject to change and 30 days prior notice will be given for such change.

Further, where LGT Capital has to pay any fine/penalty or bear any punishment from any authority in connection with/a consequence of/in relation to any of the orders/trades/deals/actions of the Client, the same shall be recovered from the Client.

LGT Capital shall not be liable to make payment of any interest on the credit balance, if any, lying in the Client's ledger, margin account, deposit including Fixed Deposit, Overnight Mutual funds (OMF) etc. with LGT Capital. LGT Capital may seek from the Client to pay brokerage, commission, fees, all taxes, duties, levies imposed by any authority including but not limited to the stock exchanges (including any amount due on account of reassessment/backlogs etc.), transaction expenses, incidental expenses such as postage, courier, Call Centre access charges etc. as they apply from time to time to the Client's account/transactions/services that the Client avails from LGT Capital.

5. Liquidation policy

THE RIGHT TO SELL CLIENTS' SECURITIES OR CLOSE CLIENTS' POSITIONS, WITHOUT GIVING NOTICE TO THE CLIENT, ON ACCOUNT OF NON-PAYMENT OF CLIENTS' DUES.

LGT Capital offers different products and services to its Clients, and which may be customized as needed as per the trading preference and investment pattern of the Client. It will be the sole responsibility of the Client to timely square off/close/ convert the position in products having specified time frame. LGT Capital shall have the rights to square off the position of the Client (Including the right to refer the matter to arbitration) with no obligation of communicating the same to the Client, for non payment of margins or other amounts, including the pay in obligations, outstanding debts etc. and adjust the proceeds of such liquidation/close out, if any, against the Clients liabilities/obligations. LGT Capital reserves the right to decide the order price keeping in view of the size of the order and the depth of the market.

If the Client does not square off his open Intraday positions before the time frame as specified by LGT Capital from time to time or the Client does not convert the open positions to delivery, LGT Capital shall attempt to square off/close out the open positions on the same day before closure of the market on best effort basis. On the days of market volatility or when there are system issues, LGT Capital shall have the right to change/modify the timings of square off by either preponing or postponing the same. Further, whenever any price of stock or underlying contract breaches the internally prescribed percentage change, LGT Capital may at its discretion square off the existing open positions in the Intraday Margin segment(s) without giving any prior notice to the customers. However, LGT Capital does not guarantee square off of open positions. Clients solely are responsible for profit/loss from open positions.

In case of Intraday Derivative positions, LGT Capital shall attempt to square off/close the open positions on the same day or in case of any difficulties/issues, on the next trading day. LGT Capital does not guarantee square off of such open positions. Clients are solely responsible for profit/losses arising out of such positions.

The Client accepts to comply with LGT Capital requirement of payment of Margin/settlement obligations of the Client, immediately failing which LGT Capital may sell, dispose, transfer or deal in any other

manner the securities already placed with it as Margin/lying in the Client Unpaid Securities Account ("CUSA") or cancel pending orders and/or square-off all or some of the outstanding margin/F&O positions of the Client as it deems fit at its sole discretion without further reference to the Client and any resultant or associated losses that may occur due to such square off/sale shall be borne by the Client. LGT Capital shall be fully indemnified and held harmless by the Client in this behalf at all times.

The Client shall ensure timely availability of funds/securities for meeting his/her pay in obligation of funds and securities. If the Client fails to maintain or provide the required margin/fund/security or to meet the funds/margins/securities pay in obligations for the orders / trades/deals of the Client within the prescribed time and form, LGT Capital shall have the right without any further notice or communication to the Client to take any one or more of the following steps:

- To withhold any payout of funds / securities.
- To withhold / disable the trading / dealing facility to the Client.
- To liquidate one or more security(s) of the Client by selling the same in such manner and at such rate which LGT Capital may deem fit in its absolute discretion. It is agreed and understood by the Client that securities here include securities which are pending delivery/ receipt.
- To liquidate/square off partially or fully the position of sale &/or purchase in any one or more securities/contracts in such manner and at such rate which LGT Capital may decide in its absolute discretion.
- To take any other steps which in the given circumstances, LGT Capital may deem fit.

The Client agrees that the loss(s) if any, on account of any one or more steps as enumerated herein above being taken by LGT Capital, shall be borne exclusively by the Client alone which are chosen by LGT Capital.

In exercise of LGT Capital's right to sell securities, the choice of specific securities to be sold and/or orders to be cancelled shall be solely at LGT Capital's discretion. The resultant or associated losses that may occur due to such squaring off or sale of such securities shall be borne by the Client. Such liquidation or close out of positions shall apply to any segment/exchange in which the Client does business with LGT Capital.

The Client has to maintain applicable margin all the time i.e. till positions are open. LGT Capital reserves the right to change/modify the margin requirements at any point of time and if the Client fails to meet the margin requirements, LGT Capital has the discretion to square off the open positions to cover the margin shortfall (including MTM losses). LGT Capital may decide at its sole discretion to exercise or not to exercise the rights to square off the positions, which are failing to meet the margin requirements. Further, the Client has been provided with tool/Web page on the trading website/Mobile application through which he can ascertain details of his open positions, amount of margin blocked, margins required, MTM loss, margin percentage etc. The MTM losses and margin requirement displayed on these web/mobile pages will be considered as demand for the additional margin required by LGT Capital. LGT Capital may not inform each and every Client (one to one) regarding the margin requirements/additional margin top up calls/margin availability before squaring off the open positions. Clients are responsible/ bound to monitor and review their open positions and margin requirements all the times and furnish the additional margin before the positions are squared off by LGT Capital.

When there is breach/change in shares/underlying scrips specific to market wide position limit (MWPL) as specified by Exchanges, Client will not be permitted to take fresh positions in that share/underlying but he can square off his existing open positions only. In case any of the positions limits (Client level, Trading Member level or market level) are breached, LGT Capital may initiate square off.

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

The following outlines the treatment of shortages arising from settlement failures, both at the exchange level and internally within LGT Capital:

1. Short Delivery to the Exchange (Broker Level)

- In cases where a Client fails to deliver securities to the Exchange, settlement occurs as per the Exchange's auction or close-out mechanism.
- Any auction or close-out debit received from the Exchange will be passed on to the defaulting

Client, i.e., the Client who failed to meet the sell/delivery obligation.

2. Internal Shortage at the Broker Level

This refers to a Client-to-Client shortage within LGT Capital, where delivery obligations are not met internally due to shortfalls from one Client.

a. For the Buyer Client (Receiving Short Delivery):

- LGT Capital will participate in Self-Auction conducted by the Exchange.
 - If the Self-Auction bid is successful, the buyer Client will receive the shares through the auction settlement.
 - If LGT Capital does not participate in the auction or the bid is unsuccessful, a close-out will be processed in the Client ledger using the following price valuation:
 - Close-out Price = shall be at the highest price prevailing across the Exchanges from the day of trading till the auction day or 20% above the closing price on the auction day, whichever is higher.

b. For the Defaulting Seller Client:

- A provisional auction debit will be applied (with mark-up as per LGT Capital discretion), calculated as:
 - $\text{Quantity short delivered} \times \text{Actual Trade Price} + (\text{mark-up})$
- If the Self-Auction is successful:
 - The debit will be recalculated as:
 - $\text{Quantity short delivered} \times \text{Self-Auction Price}$
- If the Self-Auction is not conducted:
 - The debit stands as per the close-out price mentioned above.
- The buyer Client will be credited with the same amount debited to the defaulting seller Client.

3. General Provisions

- All losses incurred due to the above mechanisms will be borne solely by the respective Client.
- LGT Capital shall not be held responsible for any such losses or liabilities.
- Clients agree to indemnify LGT Capital against any claims or disputes arising from such shortages.
- Securities involved in corporate actions will be settled on a cum basis in favor of the buyer.
- No separate communication or notification will be issued regarding the above.

7. Conditions under which a Client may not be allowed to take further position, or the broker may close the existing position of a Client.

LGT Capital has a margin based risk management policy. The Client may take exposure up to the amount of margin available with LGT Capital. The Client may not be allowed to take position in case of non-availability/shortage of margin as per the risk policy of LGT Capital. The existing position of the Client is also liable to be squared off/closed-out without giving notice due to shortage of margin / non-payment for their pay-in obligation /outstanding debts.

Further, under various circumstances outlined in the Liquidation Policy section of the document, the Client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligation, outstanding etc. It would be the duty of the Client to monitor its position with LGT Capital from time to time.

In addition to the conditions as provided under the policy of right to sell securities and close out Client's open position as detailed above, LGT Capital shall have the right to refuse to execute trades/ allow the Client to take further positions and/ or close out the existing positions of Client under following circumstances:

- As a result of any Regulatory directive/ restriction.
- Non receipt of funds/ securities and/ or bouncing of cheque received from the Client towards the obligation's/margin/ ledger balances.
- Due to technical reasons.
- Securities breaching the limits specified by the Exchanges/ regulators from time to time.
- In case of failure to meet margin including mark to market margins by the Client.
- Any other conditions as may be specified by LGT Capital from time to time in view of market

conditions, regulatory policies and risk management system.

- Due to any force majeure event beyond the control of LGT Capital, LGT Capital shall not be responsible for any loss incurred and the Client shall indemnify LGT Capital in this regard.
- The Client has committed a crime/fraud or has acted in contradiction of this terms and conditions or is likely to evade rules, regulations, directions of a lawful authority whether Indian or foreign or if LGT Capital so apprehends.

All losses to the Client on the above shall be borne solely by the Client and LGT Capital shall not be accountable for the same, the Client shall indemnify LGT Capital in this regard.

8. Temporarily suspending or closure of accounts

Client may request LGT Capital by giving 7 days prior notice to suspend his account on a temporary basis. LGT Capital may suspend Client account if LGT Capital notice any abnormal or suspicious activity in his trading account through its monitoring and surveillance system. LGT Capital may also at any time, suspend or close the Client account due to any action from the Regulator. LGT Capital may initiate closure of account by giving 30 days written prior notice. Further, LGT Capital can also withhold the payout of funds/securities based on the surveillance action or judicial or and regulatory order/action requiring the Client's suspension.

All losses to the Client on the above shall be borne solely by the Client and LGT Capital shall not be accountable for the same, the Client shall indemnify LGT Capital in this regard.

9. Deregistration of Client

LGT Capital shall be entitled to close a Client's trading account and terminate the relationship under the rights and obligations prescribed by SEBI without giving any reasons to the Client, after giving formal notice in writing of not less than one month to the Client. The account shall be deemed to have been closed with effect from 30th day from the date of receipt of such termination notice by the Client. Notwithstanding any such termination, all rights, liabilities and obligations of both the Client and LGT Capital, arising out of or in respect of transactions entered into prior to the termination shall continue to subsist and vest in/be binding on both the Client and the Member.

Notwithstanding anything to the contrary stated above, LGT Capital shall be entitled to terminate the relationship under the rights and obligations prescribed by SEBI with immediate effect in any of the following circumstances:

- SEBI or any other regulatory body has passed an order against such Client, prohibiting or suspending such Client from participating in the securities market
- Such Client's name appears in the UN list of prohibited entities or in the SEBI debarred list.
- Such a Client's account has been lying dormant for a long time, or the Client is not traceable.
- If the actions of the Client are prima facie illegal / improper/ suspicious or such as to manipulate the price of any securities or disturb the normal / proper functioning of securities or disturb the normal / proper functioning of the market, either alone or in conjunction with others.
- If there is any commencement of a legal process against the Client under any law in force or the Client is banned from accessing financial markets by any regulator or any such adverse order is passed against the Client.
- On the death/lunacy or other disability of the Client; If the Client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership.
- If the Client being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board of Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking.
- The Client has misrepresented facts at the time of entering into this relationship or at the time of giving instructions or otherwise.
- If the Client migrates to a jurisdiction which prohibits trading in Indian securities.
- If the Client suffers any adverse material change in his/her/its financial position or defaults with LGT Capital.
- If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts as they become payable, If the Client is in breach of any terms and conditions.
- If the Client has made any material misrepresentation of facts or if any covenant or warranty of the Client is incorrect or untrue in any material respect.

10. Dormant/Inactive Client account

LGT Capital Markets Private Limited identifies Client codes/ trading accounts that are inoperative for a minimum period of preceding 24 months i.e. no trades have been carried out since the last 24 months across all Exchanges.

The term inactive account refers to such an account wherein any of below mentioned activities have not been carried out by the Client for the last 24 months:

- Trading or participation in through the Member, with respect to OFS/buy-back/Open Offer across any of the exchanges/segments of the exchanges through the same Member
- Cash/Equity Derivative/ Currency Derivative/ Commodities Derivative/EGR /Debt/Online Bond Platform/ Execution Only Platform /Any other segment as may be allowed by SEBI/stock exchanges from time to time.
- Transaction in nature of applying/subscribing IPOs (where the IPO bid is successful & not cancelled)/SGBs/Mutual Funds (lumpsum investment or investments through successful SIP instalment payments) on the Mutual Fund platform of the stock exchanges through the same Member
- Modification/updation of e-mail Id/Mobile Number/Address in KYC record of Client through the same Member and the same has been uploaded to KRA to ensure Validated/Registered status.

Accordingly, such trading accounts are made inactive in the trading System and the Client is informed about the status of his trading account maintained with LGT Capital via email/letter/SMS or by way of any other mode. Such trading Accounts shall also be marked "inactive / dormant" in UCC database of Exchanges as well where such Clients' details are updated.

For re-activation of such trading account, the Client shall be required to submit all necessary information / documents with regard to updation of his / their KYC details.

As per regulations, it is required to undertake the fresh documentation, due diligence and In-person verification (IPV) where a Client is coming for reactivation being flagged as "inactive". LGT Capital shall, while reactivating the Client, ensure that the basic details of such Client like Address, Mobile number, Email ID, Bank/DP account are updated in records. In case of any changes, necessary documents shall be collected.

LGT Capital upon verifying / carrying out due diligence at its end may activate Clients trading code in the Trading System.

Upon reactivation, the Client is informed about the status of his trading account via email/letter/SMS or by way of any other mode.

11. Third party funds and securities

In accordance with SEBI circular dated August 27, 2003, LGT Capital requires all its Clients to make pay-in of funds and securities from the account held in their name mapped to the trading /demat account towards their settlement and margin obligations. Similarly, payout of funds will only be made in Client's name and securities will be transferred only to Client's demat account registered with LGT Capital. Receipt/payments of funds/securities will be accepted/given only from/to the details mapped to the trading and demat accounts.

Payment made from any other account (other than mapped with LGT Capital) will be treated as "third party". In no circumstance, third party funds and securities will be accepted towards settlement and/or margin obligation. In case, LGT Capital observes that payment of funds or securities towards pay-in/ margin obligation has been met from third party account, LGT Capital reserves right not to give credit of funds/securities to Client/ park it in separate suspense account / reverse the credit given and/or return the same to the source account from where funds/securities were received, if identified. The Client will be solely liable on account of any shortfall in meeting pay in/margin obligation in this regard.

12. Dealing in Cash

LGT Capital does not deal in cash with Clients/Referrer/Authorised Persons. In case Clients directly deposit cash in LGT Capital designated Client bank account, then LGT Capital will not give credit of the same to Client's trading account. As soon as Client provides appropriate proof of cash deposit, LGT Capital will refund such amount to the Client. Clients are hereby advised that they should not deposit

any cash directly in bank accounts of LGT Capital and/or should not deal in cash with any official/Referer/ authorised person of LGT Capital.

LGT Capital shall be entitled to change or alter this Policy or any part thereof, without giving any reason thereof to the Client. Notwithstanding any such change or alteration all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to such change or alteration shall continue to subsist and vest in / be binding on the respective heirs, executors, administrators, legal representative or successors, as the case may be. Notice of such alteration may be provided by LGT Capital by updating the same on the website. The Client is bound by such online changes or alterations in the Policies & Procedures of LGT Capital.

13. Declaration about Proprietary trading.

The Client is informed that LGT Capital will not do Proprietary trading.

14. Anti money laundering awareness - educating Clients about AML provisions

This is must read/ understood and to be complied by everybody dealing/ desirous in dealing in Capital and / or Derivatives (including Currency Derivative)

1. Prevention of Money Laundering Act, 2002 (PMLA) is enacted to prevent the financing of terrorism and to prevent laundering of money i.e. to prevent legalizing or officializing or canalizing the money generated from illegal activities like drug trafficking, organized crimes, hawala rackets and other serious crimes etc.
2. PMLA is a part of the Global measures being taken by all the countries under the initiatives of United Nations.
3. It is an obligation of individual/entities to whom PMLA is applicable, to report certain kinds of transactions routed through them to Financial Intelligence Unit (FIU), a department specially set up to administer PMLA under the Ministry of Finance.
4. PMLA is, inter-alia, applicable to various intermediaries which includes stock brokers, commodity brokers, sub-brokers, authorised person and Depository Participant etc.
5. As per PMLA the following type of transaction are to be reported to FIU: -
 - (A). All cash transactions of the value of more than ₹. 10 Lacs or its equivalent in foreign currency
 - (B). All series of cash transactions integrally connected to each other which have been valued below ₹. 10 Lacs or its equivalent in foreign currency where such series of transactions takes place within one calendar month and the monthly aggregate exceeds the amount of ten lakh rupees or its equivalent in foreign currency; (C). All suspicious transactions whether or not made in cash and including, inter-alia, credits or debits into any non-monetary accounts such as demat account, security account maintained by the registered intermediary. (D) all cash transactions where forged or counterfeit currency notes or bank notes have been used as genuine or where any forgery of a valuable security or a document has taken place facilitating the transactions.
6. Any such above transaction(s), though not executed but attempted and failed are also required to be reported
7. The suspicious transaction(s) can be related to the transaction(s) under the circumstances such as: -
 - (A). Client(s) whose identity verification seems difficult or Client(s) that appear not to co-operate;
 - (B). Asset management services for Client(s) where the source of the funds is not clear or not in keeping with Client(s) apparent standing /business activity; (C). Client(s) based in high risk jurisdictions; (D). Substantial increases in business without apparent cause; (E). Client(s) transferring large sum of money to or from overseas locations with instructions for payment in cash; (F). Attempted transfer of investment proceeds to apparently unrelated third parties; (G). Businesses undertaken by offshore banks/financial services; (H). Businesses reported to be in the nature of export/import of small items; (I). Unusual transactions by Clients of Special Categories (CSCs).
8. Clients of Special Categories (CSCs) includes: -
 - (A). Non-resident Client;
 - (B). High net-worth Client (having net worth of more than ₹. 250 Crores);
 - (C). Trust, Charities NGOs and organizations receiving donations;

- (D). Company having close family shareholdings or beneficial ownership;
 - (E). Civil Servant or family member or close relative of civil servant;
 - (F). Bureaucrat or family member or close relative of bureaucrat;
 - (G). Current or Former MP or MLA or MLC or their family member or close relative;
 - (H). Politicians (PEP) or their family members or close relative;
 - (I). Current or Former Head of State or of Governments or their family member or close relative;
 - (J). Senior government/judicial/ military officers or their family member or close relative;
 - (K). Senior executives of state owned corporations or their family members or close relative;
 - (L). Companies offering foreign exchange offerings;
 - (M). Clients in High risk countries in accordance with the Financial Action Task Force's categorization.
 - (N). Non-face to face Clients.
 - (O). Clients with Dubious reputation as per public information available.
 - (P). Clients involved in businesses like casinos, gambling, jewelry
 - (Q). Clients dealing in weapons, arms and ammunition, arts and antiques,
 - (R). Tobacco traders,
 - (S). Real Estate agents and developers that sell, market or advise unless they are subject to Anti-Money Laundering and Countering the Financing of Terrorism regulations in high risk countries.
 - (T). Professional dealing in high value goods (e.g. luxury car and yacht dealers; antiques, cultural objects and art dealers/brokers; auction houses, etc.)
 - (U). Cash intensive business (e.g. pawn brokers, used car dealers, etc.)
 - (V). FinTech's related to payment services and payment service providers licensed in a high risk country
 - (W). Commission agents (e.g. arranging deals on commission, middlemen, enablers, deal advisors, sports agents, etc.)
 - (X). Digital currency providers or similar (e.g. prepaid cards), Virtual currencies services and financial intermediaries offering virtual currencies related products,
 - (Y). Publicly financed infrastructure and public procurement,
 - (Z). Extractive industries i.e Industries that recover raw materials from the earth, process them, and turn them into products and services for use by consumers. Person who qualifies as one of the following (account owner or beneficial owner only):
 - a. Regulated banks, brokers and EAM/FIM
 - b. State-owned entities (SOE $\geq 25\%$ direct or indirect state ownership, central banks, sovereign wealth funds, etc.)
 - c. International sports organizations
 - d. Operating entities (incl. domiciliary companies with commercial activities) booked outside of specialised desk for these Clients (when account is used for commercial transactions)
9. While opening the new account all the prescribed procedures of KYC and Client Identifications should strictly be followed in the context of ensuring the compliance under PMLA.
 10. All the record of transaction(s) and Client identifications must be preserved in a manner which can be retrieved promptly and reported to the authorities in the specified format as and when required.
 11. The Clients are advised to be fully conversant with the provisions of PMLA and any amendments thereto from time to time and to co-operate with intermediaries by providing the additional information(s)/document(s), if asked for, to ensure the compliance requirements under PMLA.
 12. The Clients are advised to provide certain information which may be of personal nature or has hitherto never been called for such information can include documents evidencing sources of funds/ income tax returns/bank records etc. You are advised to co-operate with LGT Capital whenever such information is sought for from PMLA perspective.
 13. The Clients are advised to be vigilant and to refrain from the temptation of easy monetary gains, by knowingly or unknowingly supporting the people who are involved in the activities which are endangering freedom and causing damage to the nation. The Clients are supposed to provide their active co-operation in the due compliance of the law.
 14. Please visit the website of Financial Intelligence Unit (www.fiuindia.gov.in) and Securities and Exchange Board of India (www.sebi.gov.in) for any further information on the subject.

Policy for Voluntary Freezing/Unfreezing of the online access of the Clients trading account

Preamble

As amended from time to time requirements of SEBI Circular No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 on Ease of Doing Investments by Investors- Facility of voluntary freezing/ unfreezing of Trading Accounts by Clients, Industry Standards Forum in consultation with the Exchanges issued Framework for Trading Members for providing the facility of voluntary freezing/ blocking the online access of the trading account to their Clients on account of suspicious activities in NSE Circular reference no. NSE/INSP/61529 dated April 8, 2024 and BSE Circular 20240408-12 dated April 8, 2024.

Scope:

This policy shall be applicable as and when Clients are required to freeze / block online access to their trading account and subsequently desire to unfreeze the same. LGT Capital Markets Private Limited provides Internet Based Trading (IBT) System and Mobile Trading App. As per above mentioned Regulatory circulars, LGT Capital Markets Private Limited provides the following modes of communications through which the Client may request for voluntary freezing/ unfreezing of the online access of the trading account if any suspicious activity is observed in the trading account. As per the regulatory requirement, LGT Capital Markets Private Limited shall provide the facility of voluntary freezing/blocking of online access to trading accounts for Clients in cases of suspicious activities.

Clients can raise requests for blocking/freezing of their trading account due to suspicious transactions through the following mediums:

1. Client can raise a request through the LGT Capital Markets Private Limited's trading application/ Mobile Trading App.
 - Once the request is raised by the Client, account will be frozen thereby disabling the online trading access to the Client for both internet based trading and mobile trading.
 2. Client can email at stoptrade@lgtindia.in from their registered email ID. LGT Capital Markets Private Limited has provided a dedicated e-mail id stoptrade@lgtindia.in for receipt of communication for voluntary freezing/blocking of online access of their accounts.
 - LGT Capital shall validate that the "block / freeze request" is received from the registered email ID of the Client.
 - LGT Capital shall validate the Client's identity through the Client authentication procedure (2-Factor Authentication) if the request is received from any unregistered email ID.
- The timelines for freezing/ blocking the online access of the Client's trading account is as under:

Scenario	Timelines for issuing acknowledgment as well as Freezing/blocking of the online access of the trading account.
Request received during the trading hours and Within 15 minutes before the start of trading.	Within 15 minutes
Request received after the trading hours and 15 Minutes before the start of trading.	Before the start of the next trading session

Cancellation of orders; All pending orders of the Client shall be cancelled before blocking/freezing the trading account.

Client Communication on cancellation of orders:

- LGT Capital shall notify the Client via registered mobile number and email that their online access has been frozen/blocked, and all pending orders have been cancelled, along with details on how to re-enable their access to the trading account.
- LGT Capital will communicate the Client's open positions (if any) and contract expiry information within one hour from the freezing/blocking of the trading account.

Framework for Voluntary Unfreeze of online access of Client's Trading Account:

- Clients can raise requests to unfreeze/unblock their trading account through email from the Client's registered email id. The Client also has the option to Unfreeze the online access by sending an email to stoptrade@lgtindia.in from registered email address, including trading account details (UCC, PAN, and DOB).
- LGT Capital will complete due diligence including validating the Client request to unfreeze/unblock the trading account. LGT Capital shall validate that the "unfreeze request" is received from the registered email ID of the Client.
- Clients will be informed via email about the status of their request after completing the due diligence process.

Framework for Voluntary Unfreeze of online access of Client's Trading Account:**Important points:**

1. Freezing/blocking is only for the online access to the Client's trading account, and there shall be no restrictions on the Risk Management activities of LGT Capital Markets Private Limited.
2. The request for freezing/ blocking does not constitute request for marking Client Unique Client Code (UCC) as inactive in the Exchange records.
3. LGT Capital Markets Private Limited maintains all logs of freeze and unfreeze request and communications sent shall be maintained for audit trail
4. LGT Capital Markets Private Limited will re-enable the online access of trading account after carrying out necessary due diligence including validating the Client request and unfreezing / unblocking the online access of the trading account.
5. The freeze, unfreeze, issue of communication shall be within the timelines specified by SEBI / Exchanges in this regard.

Policy Review:

The said policy shall be a part of LGT Capital Markets Private Limited Risk Management Policy and shall be reviewed on a yearly basis.

Policy on handling of good till cancelled orders**Introduction/ Background**

LGT Capital Markets Private Limited (hereinafter referred to as "LGT Capital") is incorporated under the Companies Act, 2013, with Corporate Identification Number (CIN) U66120MH2024PTC418285. LGT Capital is a SEBI-registered Stock Broker with registration number INZ000319637. It is a Trading Member of BSE Limited (BSE) with membership code 6877 and National Stock Exchange of India Limited (NSE) with membership code 90395]. Further, LGT Capital is also SEBI registered Depository Participant of CDSL with registration number IN-DP-793-2025

Scope

Exchanges vide its circular NSE/INSP/62528 dated June 21, 2024, and 20240622-2 dated June 22, 2024, pertaining to 'Policy on Handling of Good till Cancelled Orders offered by Members to Clients' mandated trading members to formulate a policy in case they offer "Good till Cancelled" / "Good till Triggered" orders or orders of similar type.

Objective

The Exchanges have stated that the policy shall include-

- Details of Good till Cancelled/Good till Triggered/orders of similar type provided by member including its validity.
- Manner of handling of such orders in case of corporate actions (e.g. cancellation, price reset, retaining, etc. for the unexecuted orders).
- Provide timeline within which the member shall intimate their Clients about details of upcoming corporate actions applicable for such unexecuted orders of Clients, which shall not be later than one day prior to the ex-date of the corporate action.

Details of Good till Cancelled/Good till Triggered/Orders

- a. LGT Capital enables its Clients to place "Good Till Cancelled/Good Till Triggered (GTC) orders.
- b. GTC is an order facility through which a Client can place buy and sell limit orders in shares, index futures & index options specifying the period for which the order instruction is valid. The period

selected by the Client shall be within the maximum validity date defined by LGT Capital which shall not be more than 90 days from the date of order input.

- c. Clients of LGT Capital who are eligible to trade in Equity Cash product & Derivatives can avail GTC facility for order placement.
- d. The facility of placing a GTC order is available in Equity Cash product, Index futures, Index Options and other products. As and when, GTC orders are introduced in new segments, the same shall be subsequently updated in the policy.
- e. Client can specify disclosed quantity while placing GTC orders.
- f. GTC orders can only be placed by specifying a limit price. GTC orders cannot be placed at market price.
- g. If a GTC order is not executed for the entire quantity, Client needs to place a fresh order with LGT Capital for the unexecuted quantity for the Client on the subsequent trading days.
- h. Client shall ensure that necessary funds/margins are available to place GTC orders.
- i. "Order Validity Date" means the date entered while placing GTC orders. This date shall be equal to or less than the maximum validity date defined by LGT Capital which would appear as the default "Order Validity Date". Client can choose the GTC order validity date as less than or equal to the maximum validity date defined by LGT Capital. Client shall not be allowed to place orders with GTC validity beyond maximum defined validity date.
- j. All securities in BSE & NSE in Capital Market segment and F&O Segment except securities in debt segment, NCD, Bonds, Identified Securities and illiquid securities are eligible for the placing GTC order.
- k. Orders with GTC validity can be placed both during the market hours as well as post market hours.
- l. Clients can modify the quantity or limit price of a GTC orders.
- m. All GTC orders can be cancelled. The Brokerage rates and applicable charges are same for normal transactions and GTC orders. Further, GTC orders shall be in the same manner as normal equity/ derivative market transactions.
- n. Stop-loss orders can also be placed with GTC validity.

Handling of GTC Orders in Case of Corporate Actions

In case of corporate action, there shall be a cancellation of an existing Good-Till-Cancelled (GTC)/ Good-Till-Triggered (GTC) order, accordingly, the Client shall be notified in advance regarding cancellation of GTC Order. A prior communication in this regard shall be sent to the Client at least one business day before the effective date of the corporate action, informing them of the impending cancellation. Subsequently, the order shall be cancelled. If the Client wishes to maintain their position, they must submit a fresh order after the cancellation has been executed.

Updating Clients of Upcoming Corporate Actions

All upcoming corporate actions, including dividends, bonus, splits, etc. shall be intimated to Clients having unexecuted GTC orders at least one day prior to the ex-date of the corporate action.

Policy Communication

The said policy shall be made part of the Account Opening Form/Kit under heading "Policy on Handling of Good till Cancelled Orders of Client" of Policy and Procedures document and shall also be displayed on LGT Capital's website.

Review

The policy will be reviewed and updated as required to incorporate any changes introduced by regulatory authorities. Additionally, it will undergo periodic reviews to ensure its continued relevance, effectiveness, and alignment with current regulatory requirements and industry standards.

Signed for and on behalf of	The Stock - Broker	Client's Signature
Signature	For LGT Capital Markets Private Limited Authorised Signatory	
Name of Authorised Signatory		
Title/ Designation		
Name		

Date: Place: _____



Most Important Terms and Conditions (MITC)
(For Non-custodial settled trading accounts)

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 payout Client Unpaid Securities Pledge Account (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, net Worth, 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.

Yours faithfully,

Client's Signature	
Client Name	

Date:

Place: _____

Additional KYC Form for Opening a Demat Account

LGT Capital Markets Private Limited

201/202, Kanakia Wallstreet, Wing B, Andheri Kurla Road, Andheri East, Mumbai-400093

(To be filled by the Depository Participant)

Application No.		Date	<input type="text"/>
DP Internal Reference No.			
DP ID	<input type="text"/>	Client ID	<input type="text"/>

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a demat account in my/ our name as per following details:-

Holders Details

Sole/First Holder's Name	PAN	<input type="text"/>
	UID	<input type="text"/>
	UCC	<input type="text"/>
	Exchange Name & ID	NSE-90395 BSE 6877
Second Holder's Name	PAN	<input type="text"/>
	UID	<input type="text"/>
Third Holder's Name	PAN	<input type="text"/>
	UID	<input type="text"/>
Exchange ID - NSE-90395 BSE-6877		

Name

*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

Type of account in DP (Please tick (✓) whichever is applicable)

Status	Sub-Status
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Directors Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/c (MANTRA)
<input type="checkbox"/> NRI	<input type="checkbox"/> Individual Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Other (specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI Depository Receipts <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Other (specify) _____
	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Other (specify) _____

Details of guardian (in case the account holder is minor)

Guardian's Name		PAN <input type="text"/>
Relationship with the applicant		

Mode of Operation for Execution of Transactions (Transfer, Pledge & Freeze)

<input type="checkbox"/> Jointly	<input type="checkbox"/> Anyone of the Holder
Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be first holder.	
<input type="checkbox"/> First Holder	<input type="checkbox"/> All Holder
Email id	

	<input type="checkbox"/> Second Holder	
	<input type="checkbox"/> Third Holder	
I/We instruct the DP to receive each and every credit in my/our account (If not marked, the default option would be 'Yes')		[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')		<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
I/We request you to send Electronic Transaction-cum-Holding State- ment at the email ID _____		<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to share the email ID with the RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to receive the Annual Report (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 and Electronic
I/ We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]		<input type="checkbox"/> Yes <input type="checkbox"/> No

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)	<input type="text"/>
IFS Code (11 character)	<input type="text"/>
Account number	<input type="text"/>
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____
Bank Name	<input type="text"/>
Branch Name	<input type="text"/>
Bank Branch Address	<input type="text"/>
City	State <input type="text"/> Country PIN code <input type="text"/>




- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
- (ii) Photocopy of the Bank Statement having name and address of the BO
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank.
- In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

Other Details Gross Annual Income Details	Income Range per annum:	
	<input type="checkbox"/> Up to Rs.1,00,000	<input type="checkbox"/> Rs 1,00,000 to Rs 5,00,000
	<input type="checkbox"/> Rs 5,00,000 to Rs 10,00,000	<input type="checkbox"/> Rs 10,00,000 to Rs 25,00,000
	<input type="checkbox"/> More than Rs 25,00,000	
	Net worth as on (Date) <input type="text"/> Rs. _____	
	[Net worth should not be older than 1 Year]	
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (specify) _____	
Please tick (✓), if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)	
Any other information:	<input type="text"/>	

SMS Alert Facility Refer to Terms & Conditions given as Annexure	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).
Easi	To register for Easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

Declaration

I/We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me/us in this form. I/We further agree that any false / misleading information given by me/us or suppression of any material information will render my account liable for termination and suitable action.

	Sole/First Holder	Second Holder	Third Holder
Client's Signature			
Client Name			

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL
[SMS Alerts will be sent by CDSL to BOs for all debits]

Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the Depository. The term covers all types of demat accounts, which can be opened with a Depository as specified by the Depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the Depository has entered/ will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the Depository. The service will be available to those accountholders who have provided their mobile numbers to the Depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The Depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the Depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the Depository. In case of change in mobile number not intimated to the Depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the Depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The Depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the Depository shall make every effort to update the change in mobile number within a reasonable period of time. The Depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts, then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The Depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the Depository and/ or the DP immediately in writing and the Depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the Depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the Depository to send any message such as promotional, greeting or any other message that the Depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.

6. The BO agrees to inform the Depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the Depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the Depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The Depository will make best efforts to provide the service. The BO cannot hold the Depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer:

The Depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The Depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the Depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the Depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the Depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a Depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

The Depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the Depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the Depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the Depository from time to time.

I/We further understand that the SMS alerts would be sent for a maximum four ISINs at a time.

If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the Depository for providing the service.

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

BOID : DP ID Client ID

Sole/First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____




Mobile Number on which +91
messages are to be sent

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

The mobile number is registered in the name of: _____

Email ID: _____

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

	Sole/First Holder	Second Holder	Third Holder
Client's Signature			
Client Name			

Date:

Place: _____




Option for Issue of DIS Booklet

I/We hereby state that

☐ I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account though I/ We have issued a Power of Attorney (POA) in the favour of LGT Wealth India Private Limited and Demat Debit and Pledge Instruction (DDPI) in favour of LGT Capital Markets Private Limited /registered for eDIS / executed PMS agreement in favour of _____
(Name of the attorney / Clearing Member/PMS manager) for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Power of Attorney holder -Clearing Member / by PMS manager/ for executing delivery instructions through eDIS.

OR

☐ I/We do not require the Delivery Instruction Slip(DIS)for the time being, Since I/We have issued a POA in the favour of LGT Wealth India Private Limited and DDPI in the favour LGT Capital Markets Private Limited/ registered for eDIS /executed PMS agreement in the favour of _____
(Name of the attorney / Clearing Member/PMS manager) for executing the delivery instructions for settling stock exchange trades [settlement related transaction] effected through such Power of Attorney Holder - Clearing Member / by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

	Sole/First Holder	Second Holder	Third Holder
Client's Signature			
Client Name			

Date:

Place: _____

Nomination Form for Demat Accounts

LGT Capital Markets Private Limited
201/202, Kanakia Wallstreet, Wing B,
Andheri Kurla Road, Andheri East,
Mumbai-400093

Nomination Registration No.

Date

UCC

DP ID (CDSL)

Client ID

I/We hereby nominate the following person(s) who shall receive all the assets held in my/our account / folio in the event of my/our demise, as trustee and on behalf of my/our legal heir(s)*

		Nomination Details				
		Nominee 1	Nominee 2	Nominee 3	Nominee 4	Nominee 5
Mandatory Details	Name of nominee					
	Share of nominee (%)**					
	Relationship					
	Postal Address					
	Mobile number & E-mail					
	Identity Number ***					
Additional Details ****	D.O.B. of nominee					
	Guardian					

Nomination Details						
		Nominee 6	Nominee 7	Nominee 8	Nominee 9	Nominee 10
Mandatory Details	Name of nominee					
	Share of nominee (%)**					
	Relationship					
	Postal Address					
	Mobile number & E-mail					
	Identity Number ***					
Additional Details ****	D.O.B. of nominee					
	Guardian					

* Joint Accounts:

Event	Transmission of Account / Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously – having nominee	Nominee
Demise of all joint holders simultaneously – not having nominee	Legal heir(s) of the youngest holder







** If % is not specified, then the assets shall be distributed equally amongst all the nominees (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving Licence or Aadhaar (last 4 digits). Copy of the document is not required.

**** To be furnished only in following conditions / circumstances:

- Date of Birth (DOB): please provide, only if the nominee is minor.
- Guardian: It is mandatory for you to provide, if the nominee is minor.

- 1) I/We want the details of my/our nominee to be printed in the statement of holding, provided to me/us by the AMC / DP as follows; (please tick (✓), as appropriate)
☐ Name of nominee(s) ☐ Nomination: Yes / No
- 2) I hereby authorize _____ (nominee number _____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ____% of assets in the account / folio or Rs. _____.
(strike off portions that are not relevant)
- 3) This nomination shall supersede any prior nomination made by me/us, if any.

Name and Signature of Holder(s)*			
Name(s) of holder(s)		Signature(s) of holder	Witness Signature*
Sole/First Holder (Mr./Ms.)			
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			

* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Rights, Entitlement and Obligation of the investor and nominee:

- If you are opening a new demat account / MF folios, you have to provide nomination. Otherwise, you have to follow the opt out of nomination procedure.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the AMC / DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account / folio.
- In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account / folio, in case of your physical incapacitation. This mandate can be changed any time you choose.
- The signatories for this nomination form in joint folios / account, shall be the same as that of your joint MF folio / demat account. i.e.
 - 'Either or Survivor' Folios / Accounts - any one of the holder can sign
 - 'Jointly' Folios / Accounts - both holders have to sign

Transmission aspects:

- AMCs / DPs shall transmit the folio / account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC / DP.
- In case of multiple nominees the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.




% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

Declaration Form for opting out of nomination

UCC Date: *DP ID (CDSL) Client ID

To
 LGT Capital Markets Private Limited
 201/202, Kanakia Wallstreet, Wing B,
 Andheri Kurla Road, Andheri East, Mumbai-400093

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

	Sole/First Holder	Second Holder	Third Holder
Client's Signature			
Client Name			

Date:

Place: _____

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

Name of Witness			
Address of Witness			
Signature of Witness			

Date:

Place: _____

Declaration for Basic Services Demat Account (BSDA)

DP ID (CDSL) 12101500

Date:

To
LGT Capital Markets Private Limited
201/202, Kanakia Wallstreet, Wing B,
Andheri Kurla Road, Andheri East, Mumbai-400093

With reference to my/our application for opening a Depository account, I/ We request you to open my/our Depository account as per the following details:

	Name	PAN
Sole/First Holder		
Second Holder		
Third Holder		

I/We have read and understood the Securities and Exchange Board of India's guidelines for facility for a BSDA.

I/We am/are aware that if I/We are eligible to open a Depository account as a BSDA, the account shall be opened as a BSDA.

I/We also understand that in case, I/We at any point of time do not meet the eligibility criteria as a BSDA holder, my/our demat account is liable to be converted to regular account.

I/We also state that if at any time choose to opt out of BSDA i.e. avail the facility of regular account the same will be communicated to the Participant from Sole/First Holder registered email ID.

The charge structure for the BSDA (Annual Maintenance Charges) AMC will be as follows:

Value of Holdings in the Demat Account (Debt as well as other than debt securities combined)	Maximum Annual Maintenance Charges
Up to ₹ 4 lakhs	NIL
More than ₹ 4 lakhs but up to ₹ 10 lakhs	₹ 100
More than ₹ 10 lakhs	Not a BSDA. Regular AMC may be levied

It is emphasized that other than AMC as specified above, BSDA shall be treated at par with non-BSDA for the purpose of levying charges for various other services and DPs shall not levy higher charges to BSDA.




	Sole/First Holder	Second Holder	Third Holder
Client's Signature			
Client Name			

Date:

Place: _____

Other Details of Demat Account Holders			
	Sole/First Holder	Second Holder	Third Holder
Educational Qualification	<input type="checkbox"/> Undergraduate <input type="checkbox"/> Graduate <input type="checkbox"/> Postgraduate <input type="checkbox"/> Professional	<input type="checkbox"/> Undergraduate <input type="checkbox"/> Graduate <input type="checkbox"/> Postgraduate <input type="checkbox"/> Professional	<input type="checkbox"/> Undergraduate <input type="checkbox"/> Graduate <input type="checkbox"/> Postgraduate <input type="checkbox"/> Professional
Source of Income	Primary: <input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Pension <input type="checkbox"/> Others (Specify) <hr/> Secondary: <input type="checkbox"/> Rental <input type="checkbox"/> Dividend <input type="checkbox"/> Salary of Dependents <input type="checkbox"/> Interest on Investment	Primary: <input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Pension <input type="checkbox"/> Others (Specify) <hr/> Secondary: <input type="checkbox"/> Rental <input type="checkbox"/> Dividend <input type="checkbox"/> Salary of Dependents <input type="checkbox"/> Interest on Investment	Primary: <input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Pension <input type="checkbox"/> Others (Specify) <hr/> Secondary: <input type="checkbox"/> Rental <input type="checkbox"/> Dividend <input type="checkbox"/> Salary of Dependents <input type="checkbox"/> Interest on Investment
Gross Annual Income	Income Range per annum: <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1 Lac – 5 Lac <input type="checkbox"/> 5 Lac – 10 Lac <input type="checkbox"/> 10 Lac – 25 Lac <input type="checkbox"/> > 25 lacs	Income Range per annum: <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1 Lac – 5 Lac <input type="checkbox"/> 5 Lac – 10 Lac <input type="checkbox"/> 10 Lac – 25 Lac <input type="checkbox"/> > 25 lacs	Income Range per annum: <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1 Lac – 5 Lac <input type="checkbox"/> 5 Lac – 10 Lac <input type="checkbox"/> 10 Lac – 25 Lac <input type="checkbox"/> > 25 lacs
Net-worth as on (date)	<hr/> (Net Worth should not be older than one year)	<hr/> (Net Worth should not be older than one year)	<hr/> (Net Worth should not be older than one year)
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) <hr/>	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) <hr/>	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) <hr/>

Nature of Business	<input type="checkbox"/> Agriculture <input type="checkbox"/> Gems & Jewellery <input type="checkbox"/> Money Lending <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Real Estate <input type="checkbox"/> Export-Import <input type="checkbox"/> Manufacturing <input type="checkbox"/> Service Industry <input type="checkbox"/> Trading Firm <input type="checkbox"/> Casino Owner <input type="checkbox"/> Arms Manufacturer <input type="checkbox"/> Pawn Broker <input type="checkbox"/> Others (Specify) <hr/>	<input type="checkbox"/> Agriculture <input type="checkbox"/> Gems & Jewellery <input type="checkbox"/> Money Lending <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Real Estate <input type="checkbox"/> Export-Import <input type="checkbox"/> Manufacturing <input type="checkbox"/> Service Industry <input type="checkbox"/> Trading Firm <input type="checkbox"/> Casino Owner <input type="checkbox"/> Arms Manufacturer <input type="checkbox"/> Pawn Broker <input type="checkbox"/> Others (Specify) <hr/>	<input type="checkbox"/> Agriculture <input type="checkbox"/> Gems & Jewellery <input type="checkbox"/> Money Lending <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Real Estate <input type="checkbox"/> Export-Import <input type="checkbox"/> Manufacturing <input type="checkbox"/> Service Industry <input type="checkbox"/> Trading Firm <input type="checkbox"/> Casino Owner <input type="checkbox"/> Arms Manufacturer <input type="checkbox"/> Pawn Broker <input type="checkbox"/> Others (Specify) <hr/>
Please tick (✓), if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP) <input type="checkbox"/> None	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP) <input type="checkbox"/> None	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP) <input type="checkbox"/> None
Any Other Information			

	Sole/First Holder	Second Holder	Third Holder
Client's Signature			
Client Name			

Date:

Place: _____




LGT Capital Markets Private Limited. DP ID: 12101500
Schedule of DP Charges

Sr. No.	Account Head	Rate
1	Account Opening	NIL
2	Annual Maintenance Charge	Rs 500 for Individual Demat Account and Rs 1000 For Non Individual Account
3	Custody Charges	NIL
4	Dematerialisation	Rs. 5/- per Certificate, plus Rs. 100 per Request (Inclusive of Courier Charges).
5	Rematerialisation	a) Rs. 10/- for every hundred securities or part there of OR b) a flat fee of Rs. 10/- per certificate whichever is higher
6	Market Transaction (Sell)	0.025% of the value of securities or Rs 50 per ISIN whichever is lower
7	Market & Off-Market Transaction (Buy)	NIL
8	Off- Market Transaction (Sell)	0.025% of the value of securities or Rs 50 per ISIN whichever is lower
9	Normal Pledge	Rs 25 per ISIN
10	Margin Pledge	Rs 25 per ISIN
11	Pledge Invocation / Pledge Closure	Rs 25 per ISIN
12	Failed Transaction	NIL
13	Demat Rejection Charges	NIL

Notes:

1. LGT Capital Markets Private Limited ("LGT Capital") shall, on completion of a calendar month, determine the number of transactions executed on your behalf and shall compute and charge the fees and issue invoice in the following month. Payment of fees shall be due only after the invoice is issued.
2. There will be no charges levied on all liquid BeES.
3. Charges/ Service Standards are subject to revision at LGT Capital's sole discretion and will be intimated in writing to Clients at least 30 days in advance.
4. The value of Transaction will be in accordance with rates provided by the Depository.
5. Pledge Services will include individually pledge creation request, pledge confirmation request, closure requisition, closure confirmation requisition.
6. All instructions received beyond the stipulated time will be accepted at Client's risk and will be executed on Best Effort basis.

I/We have read and understood the "Schedule of Charges" prescribed above and agree to abide by the same.

	Sole/First Holder	Second Holder	Third Holder
Client's Signature			
Client Name			

Date:

Place: _____

FATCA/ CRS Declaration/ Self Certification For Individual

Section 1 - Individual Identification

	First Holder	Second Holder	Third Holder
Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender
Place/City of Birth			
Country of Birth			
Nationality			
*Are you a U.S. Green Card Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

Section 2 - Declaration of Tax Residency

a)	First Holder	Second Holder	Third Holder
Are you a Tax Resident of any country other than India	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

If answer to above is Yes, then provide the following information with documentary evidence.

If you are a tax resident of multiple countries, kindly provide information of tax residence of all countries by filling in Section 2(b) and Section 3 in a separate page.

b)	First Holder	Second Holder	Third Holder
Country/ies of Tax Residency			
Tax Identification Number (TIN)#/ Functional equivalent Number			
TIN/ Functional equivalent number Issuing Country			
Document Valid till (dd/mm/yyyy)			

#Please provide Documentary evidence for foreign country of tax residence and TIN

In case of change of information on tax residence as stated above, you are requested to intimate us of the change within 30 days of change

Section 3 - Address Details

(To be completed only if answer in Section 2(a) is 'Yes')




Address of the jurisdiction of tax residence

	First Account Holder	Second Account Holder	Third Account Holder
Number			
Building Name, Street, Locality			
City/Town			
State/Province/County			
Post Code			
Country			

Section 4 – Declaration and Undertakings

I/We certify that:

1. The information provided in the Form is in accordance with section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income Tax Rules, 1962.
2. The information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/We have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise.
3. I/We permit/authorize LGT Capital Markets Private Limited to collect, store, communicate and process information relating to the Account and all transactions therein, by LGT Capital Markets Private Limited and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.
4. I/We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by us or if any certification becomes incorrect and to provide fresh self certification along with documentary evidence.
5. I/We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and LGT Capital Markets Private Limited would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India for the purpose or take any other action as may be deemed appropriate by LGT Capital Markets Private Limited if the deficiency is not remedied by us within the stipulated period.
6. I/We hereby accept and acknowledge that LGT Capital Markets Private Limited shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me/us to LGT Capital Markets Private Limited.
7. It shall be my/our responsibilities to educate myself/ourselves and to comply at all times with all relevant laws relating to reporting under section 285BA of the Act read with the Rules thereunder.
8. I/We also agree to furnish such information and/or documents as LGT Capital Markets Private Limited may require from time to time on account of any change in law either in India or abroad in the subject matter herein.
9. I/We shall indemnify LGT Capital Markets Private Limited for any loss that may arise to LGT Capital Markets Private Limited on account of providing incorrect or incomplete information.

	Sole/First Holder	Second Holder	Third Holder
Client's Signature			
Client Name			

Date:

Place: _____

Voluntary Document
Demat Debit and Pledge Instruction (DDPI) Authorisation

Date:













To,
 LGT Capital Markets Private Limited

Dear Sir/Madam,

Sub: Demat Debit and Pledge Instruction (DDPI) Authorisation

DP ID / Client ID -

I/We, hereby explicitly agree and give consent to authorize LGT Capital Markets Private Limited, to access Beneficial Owner (BO) Account as per details given above for following purposes: Accordingly, I/We hereby, authorize LGT Capital Markets Private Limited to do the following:

Sr. No.	Purpose	Signature of Client
1	Transfer of securities held in the beneficial owner accounts of mine / us (Clients) towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me/us (Clients) on the Stock Exchange through LGT Capital Markets Private Limited.	Sole/First Holder 
		Second Holder 
		Third Holder 
2	Pledging / re-pledging of securities in favour of LGT Capital Markets Private Limited/ Clearing Member (CM)/ Clearing Corporations (CC) for the purpose of meeting margin requirements of the Clients in connection with the trades executed by me/us (Clients) on the Stock Exchange.	Sole/First Holder 
		Second Holder 
		Third Holder 
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	Sole/First Holder 
		Second Holder 
		Third Holder 
4	Tendering shares in open offers through Stock Exchange platforms	Sole/First Holder 
		Second Holder 
		Third Holder 

Kindly further note that I/We am/are entitled to revoke this authorisation at any time, after sending the revocation letter at your correspondence office to enable you to make necessary changes. I/We hereby confirm that such revocation shall not affect my/our obligations outstanding at the time of such revocation and the authority granted hereunder shall continue until all transactions and instructions already executed or issued towards LGT Capital Markets Private Limited have been settled.




The same may be e-Signed or signed physically.

DP Name	DP Signature & Seal & Stamp 
---------	---

The demat account details of LGT Capital Markets Private Limited/Clearing Members/Clearing Corporations/Exchanges, where Client shares can be transferred / Pledged / Repledged for above purpose is mentioned below:

Annexure-A/ List of Demat Account

Sr No.	DP Name	Type of account	DP ID	Client ID	Account Holder Name
1	LGT Capital Markets Private Limited	Clearing Member Account	12101500	00000070	LGT Capital Markets Private Limited. - Pool (BSE)
2	LGT Capital Markets Private Limited	Corporate TM/CM CMPA	12101500	00000085	LGT Capital Markets Private Limited. (Client Securities Margin Pledge Account)
3	LGT Capital Markets Private Limited	Client securities Margin Funding Account	12101500	00000091	LGT Capital Markets Private Limited. (Client Securities Margin Funding Account)
4	LGT Capital Markets Private Limited	Clearing Member	12101500	00000066	LGT Capital Markets Private Limited. - Pool (NSE)
5	LGT Capital Markets Private Limited	Corporate TM/CM CUSPA	12101500	00000051	LGT Capital Markets Private Limited. - CUSPA
6	LGT Capital Markets Private Limited	Early pay in (NSE)	11000011	00022786	LGT Capital Markets Private Limited. - Pool
7	LGT Capital Markets Private Limited	Early pay in (BSE)	11000010	00025191	LGT Capital Markets Private Limited - LGTCM Private Limited - Pool
8	LGT Capital Markets Private Limited	NCL Pledge / Repledge Account	11000011	00020926	LGT Capital Markets Private Limited.
9	HDFC Bank	Clearing Member Account (NSE)	IN300126	IN590163	LGT Capital Markets Private Limited. - Pool

	Sole/First Holder	Second Holder	Third Holder
Client's Signature			
Client Name			

Date:

Place: _____

**Authority to Retain Funds as Running Account for all Exchanges for Residents and NRI
Non Repatriable – Voluntary**

To,
LGT Capital Markets Private Limited

Dear Sir / Madam,

Subject: Running Account Authorization.

Ref: My UCC Code: _____ Client Name:- _____

- i. I hereby authorize you to release the funds due to me in my account, arising from transactions executed through you, on a running account basis instead of a settlement-to-settlement basis. This authorization is granted to facilitate ease of operations. Under this arrangement made at my specific request, I shall not claim any interest on the funds kept in running account with LGT Capital Markets Private Limited.
- ii. I request you to maintain the running balance in my account and retain any credit balance in such account. The retained funds may be utilized towards meeting my margin, pay-in obligations, or any other future obligations across any segment(s) of any or all exchange(s), in accordance with margin requirements specified by the exchanges. This request is made to ensure operational efficiency and compliance with the upfront margin requirements for trades.
- iii. I hereby authorize LGT Capital Markets Private Limited to keep and utilize the payout/margin money deposited by me including credits arising from Mark to Market Margin, option premium etc. and on expiry/close-out my open positions in derivative contracts, in my account for meeting all my future obligations and for providing limits for trading purpose on the basis of this deposit. I hereby authorize LGT Capital Markets Private Limited to deposit the above collateral with the exchange/clearing corporation/clearing house towards margin unless specified otherwise. These funds will be released to me as and when requested by me in writing or otherwise, subject to availability of free and unutilized balance after taking consideration all open positions and dues relating to my delivery/open positions.
- iv. I agree to the periodic settlement of my account as per the provisions mentioned herein, excluding:
 - a. Funds provided as collateral or margin in the form of Bank Guarantees or Fixed Deposit Receipts.
 - b. Clients availing margin trading facilities.
- v.
 - a. The running account of funds shall be settled on a quarterly basis after considering the End of Day (EOD) fund obligations as of the settlement date.
 - b. The settlement shall occur on the first Friday of each quarter (i.e., Apr-Jun, Jul-Sep, Oct- Dec, Jan-Mar). If the first Friday is a trading holiday, the settlement shall occur on the preceding trading day.
- vi.
 - a. Brokers shall provide Clients the option to choose between quarterly or monthly settlement of running accounts.
 - b. For Clients opting for monthly settlement, the running account shall be settled on the first Friday of every month. If the first Friday is a trading holiday, the settlement shall occur on the preceding trading day.
- vii.
 - a. If I have any outstanding trade positions on the scheduled settlement date, you may retain funds as per the retention criteria specified in SEBI Circular SEBI/HO/MIRSD/DOP/P/CIR/2021/577 dated June 16, 2021.
 - b. The retention statement, along with the statement of running account, shall be sent to me within five working days from the date of settlement.
- viii.
 - a. Pay-in obligations of funds outstanding as of T-day.
 - b. Margin liabilities, including additional margins, up to 125% of the total margin liability across all segments, with a maximum retention of 225% of the total margin liability.
- ix. Funds received from Clients whose running accounts have been settled shall remain in the "Upstreaming Client Nodal Bank Account" and shall not be used to settle obligations of other Clients.
- x.
 - a. The running account shall be deemed settled only upon the actual transfer of funds to my bank account.
 - b. Journal entries shall not constitute settlement, except for the levy or reversal of charges.
- xi.
 - a. For Clients with a credit balance who have not traded in the last 30 calendar days, the entire credit balance shall be settled on the next scheduled settlement date as per SEBI guideline.

- b. If the Client resumes trading after 30 days but before the settlement date, the account shall continue to be settled as per the Client's chosen preference (quarterly or monthly).
- xii. In the case of settlement through physical payment instruments (cheque or demand draft), the date of realization of the instrument into my bank account shall be considered the settlement date.
- xiii. a. Upon settlement of the running account, intimation shall be sent to me via SMS on the registered mobile number and email on the registered email ID provided at the time of account opening.
- b. The intimation shall include transaction details (e.g., transaction number and date for electronic transfers, or instrument number and date for physical instruments).
- xiv. In the event of any dispute arising from the statement of account or the settlement of funds, I shall bring the same to the notice of the Trading Member (LGT Capital Markets Private Limited) within 24 hours from the receipt of the funds or statement, as applicable.
- xv. I hereby indicate my preference for the periodic settlement of funds (tick (✓) the appropriate choice):
- ☐ Once in a calendar Month ☐ Once in the calendar Quarter
- (If no check box is selected, the settlement will be done Quarterly)

As per SEBI Circular CIR/MIRSD/01/2011 dated May 13, 2011, the following terms are acknowledged and agreed upon:

- The authorization and instructions provided in this letter are revocable by me at any time, without the requirement of prior notice. I understand and acknowledge that the authorization contained herein shall remain in effect until expressly revoked by me in writing.
- In the event of revocation of the authorization, for any reason whatsoever, I hereby acknowledge and agree that LGT Capital Markets Private Limited shall have the right to settle my Broking Account on a per trade basis or in any other manner permitted under the applicable regulatory framework, as issued by SEBI or other relevant authorities from time to time.

I confirm that this authorization shall be executed solely by me and not by any power of attorney holder or other authorized representative.

Client's Signature	
Client Name	

Date:

Place: _____

Authorization for Receipt of Contract Notes and other documents in Digital Mode - Voluntary

To,
LGT Capital Markets Private Limited

Dear Sir / Madam,

I/We, hereby consent to receive digital contract notes, daily margin statement, margin calls, weekly ledger statements, quarterly statements (Retention letter, Ledger, Holding). AGTS (Annual Global Transaction Statement), STT Certificate, monthly DP transaction cum holding statements, bills & accounts statements, thereof, notices, circulars, amendments and such other correspondence or documents in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 and the Rules made there under, to my self-created Email Id mentioned below.




Email Id: _____

I/We further hereby consent to the following:

- i. That the Member/Depository Participant shall fulfill its legal obligation if the aforesaid documents are sent electronically to the above e-mail id.
- ii. I/We shall communicate the change in e-mail id, if any, to you through a duly signed physical letter.
- iii. I/We undertake to check contract notes/ monthly DP holding and transaction statements, bills & all such correspondences as mentioned above on regular basis and bring the discrepancies to your notice preferably within 24 hours on receipt of the contract notes and within 7 (seven) days on receipt of the said statements.
- iv. Non verification or not accessing the contract notes/ DP holding cum transaction statements, ledgers, margin calls, margin statements & all such correspondences on regular basis from my/ our part shall not be a reason for disputing the contract note or the DP holding or transaction statements or any such correspondences sent at any time.
- v. That Member/ Depository Participant will not be responsible for non receipt of documents sent via electronic delivery due to change in email address as mentioned above or for any other reason which inter alia include the malfunction of my/our computer system/ server/internet connection etc.
- vi. That the non receipt of bounced mail notification by LGT Capital Markets Private Limited shall amount to delivery of the documents at my/our E-mail ID.
- vii. That the Member shall not take cognizance of out of office/out of station auto replies and I/We shall be deemed to have received such electronic mails.
- viii. I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- ix. My email id is _____. This has been created by me and not by someone else.
- x. Digital Contract notes will also be available at URL <https://www.lgtindia.in/en/lgt-capital-markets>. Clients can view the Digital Contract notes on URL by using the username & password.
- xi. LGT Capital Markets Private Limited shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof.
- xii. The above is my/ our personal E-mail id. I/ We shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of the abovementioned e-mail account. LGT Capital Markets Private Limited shall not be liable to or responsible for any breach of secrecy. I/We am/are aware that the statements/ documents may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised. I/We will be solely responsible for the security of the information provided on my/ our aforesaid e-mail id.
- xiii. I/We shall immediately inform LGT Capital Markets Private Limited about change in email address, if any.

Further I/We agree and undertake to indemnify LGT Capital Markets Private Limited and its group companies, that they will not be held liable/ responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of this information or pursuant to any litigation cases, complaints, actions, etc that may arise in future on account of my/ our above authorization request.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note and do hereby take full responsibility for the same.

	Sole/First Holder	Second Holder	Third Holder
Client's Signature			
Client Name			

Date:

Place: _____



ANNEXURE A

Voluntary Clauses (Terms and Conditions)

The Client is required to note that the below mentioned clauses are not mandatory as per the exchange and/or SEBI requirements. However, the same are the requirements of / from LGT Capital Markets Private Limited). However, I am (herein after referred to as the Client) aware that I may revoke any or all the clause of this voluntary document upfront before signing or later on by communicating in writing by giving notice to the broker and in such case LGT Capital Markets Private Limited reserves its right to take such decision as may be required in this regard. Further, this document will operate as My express authority in favour of LGT Capital Markets Private Limited consisting different membership of BSE/NSE and such other exchanges or entities (if any)

1. The Client agrees that he / she has been made aware / read, understood and accept the prevailing RMS Policy / all other policies / procedures / information / instructions of LGT Capital Markets Private Limited and further shall keep himself/herself, updated of any future RMS policy, all other policies/ procedures / information / instructions that may be issued from time to time from the broker. The Client shall also access the RMS Policy, all other policies / procedures/information/instructions from LGT Capital Markets Private Limited website's <https://www.lgtindia.in/en/lgt-capital-markets> from time to time. LGT Capital Markets Private Limited may send any necessary communications to the Client on their registered email address. LGT Capital Markets Private Limited may modify the terms or any additional terms that to reflect changes to the law or changes to our policies / procedures etc.
2. The Client hereby agrees and understands that in case of any noncompliance and /or default by the Client such as cheque bouncing, margin shortage, price rigging or for any other matters as may be decided by LGT Capital Markets Private Limited from time to time, without prejudice to LGT Capital Markets Private Limited's other rights, LGT Capital Markets Private Limited may levy charges/penalty(ies) on the Client and debit such charges / penalty(ies) in the Client account which has been imposed by Regulatory Authorities. Margin shortfall penalty as well as any other penalty levied by Exchange(s)/ Regulators shall be recovered from the Client on actuals, by debiting the Client account since it is the liability of investor discharged by LGT Capital Markets Private Limited on his/her behalf.
3. Suspension/deactivation of trading activities for Non-payment of amounts due from the Client including margin money. The Client is aware that the Client is required to make full payment to LGT Capital Markets Private Limited for the execution of the contract on the day of execution of trade. The Client explicitly agrees and authorizes LGT Capital Markets Private Limited to suspend/deactivate his/her accounts for non-payment of the above stated dues and such other amounts as may be due from the Client from time to time without giving any further notice or intimation to the Client.
4. Client Ledger Balances with the Broker
 - (I) For the purpose of the voluntary clauses the term "Dues of Client" shall include the amount of monies payable by the Client including but not limited to, the purchase price of the Securities, Brokerage, Margin money, Goods and Service Tax (GST), Turnover Tax, Auction Debit and Charges, Service Charge, Securities Transaction Tax, Stamp duty, DP charges, penalties, interest on delayed payment, transaction charges, cheque bounce charges, penalties for non-compliances, shortfall in margins etc. that may be levied from time to time in the Clients accounts as per Regulatory norms. Penalties Levied by Exchange(s) / Regulators shall be recovered from the Client on actuals, by debiting the Client account since it is the liability of investor discharged by LGT Capital Markets Private Limited on his/her behalf.
 - (ii) All payment for securities/ bought shall be made out by way of Cheque/ fund transfer in favour of "LGT Capital Markets Private Limited" At the time of settlement of dues of the Client, LGT Capital Markets Private Limited shall draw an account payee cheque/fund transfer in favour of the Client which may be payable to a specified bank account of the Client.
The Client agrees to make such fund transfer from the bank account, the details of which are provided by the Client to LGT Capital Markets Private Limited in the Client Registration Form or modification form.
The Client understands that LGT Capital Markets Private Limited shall execute the orders only after the proceeds of the Margin account are realized and credited to the Bank account of LGT Capital Markets Private Limited.
Any payment made by the Client in the form of the account payee cheque shall be considered as Funds only upon the realization of the same.
 - (iii) The Client hereby agrees to make payment against debit balance and margin payments as demanded by LGT Capital Markets Private Limited in the form of Funds (which shall hereinafter mean and include account payee cheques but not cash or currency) or securities in the proportion as prescribed by LGT Capital Markets Private Limited or Exchange, failing which the broker can

square up all or any outstanding position of sale and / or purchase, in any segment and/ or in any Exchange, without any notice to the Client.

- (iv) Margin in the form of Collateral: LGT Capital Markets Private Limited, in its absolute discretion will decide the eligible securities, which could be pledged by the Client for meeting current or future margin/ deposit obligations. LGT Capital Markets Private Limited would be free to continuously review the eligibility of securities already pledged by the Client. Securities which are pledged in favour of LGT Capital Markets Private Limited including ledger debits/ DP debits /meet the margin requirements in Cash and F&O, Currency, other segments of the Exchanges. Accordingly securities which are pledged by Client in favour of LGT Capital Markets Private Limited shall be unpledged/invoked to meet the Exchange obligation upon selling.
 - (v) Lien: The Client agrees that all monies, collaterals that may be held by LGT Capital Markets Private Limited on the Client's account shall be held by LGT Capital Markets Private Limited at the sole risk and cost of the Client and such monies, securities or other property as permitted by the Exchange(s) shall be held subject to a general lien for the discharge of the Client obligation to LGT Capital Markets Private Limited under the voluntary clauses irrespective of whether such obligation of the Client is disputed by the Client. LGT Capital Markets Private Limited shall be under no obligation to release such monies, securities until the Client has discharged its entire obligation in full to LGT Capital Markets Private Limited under the voluntary clause to the satisfaction of LGT Capital Markets Private Limited.
 - (vi) The Client authorizes LGT Capital Markets Private Limited to use its discretion to close out any part or all of the contracts in Capital Market, Equity, Currency, & Future and Options segments held in the Clients account with LGT Capital Markets Private Limited for the protection of LGT Capital Markets Private Limited, in case of any default by the Client. The Client agrees to reimburse any or all such incidental expenses incurred by LGT Capital Markets Private Limited.
 - (vii) Client agrees that in case of any payout (funds/securities) which is yet to be received by him for the previous settlement(s), LGT Capital Markets Private Limited would be entitled to adjust the same against the current or subsequent settlement obligations or other charges or under the circumstances when Client defaults.
 - (viii) Set-off - The Client agrees that LGT Capital Markets Private Limited may set-off his credit balance available in his ledger account on any one Exchange/ segment against the debit balance in other Exchange/segment.
5. The Client agrees that any notice or communication served on the Client under the voluntary clauses shall be valid and binding on him and shall be deemed to be duly served, if conveyed in writing through Letter, or by personal delivery duly acknowledged by the other party/ Courier at the Registered post to the address of the Client mentioned hereinabove or the last known address, or if electronically delivered at any one of the e-mail id intimated by the Client , or by publishing the same in the prominent daily newspaper where the registered / last known business/ residential address of the Client is situated or if conveyed over telephone on the last known number or on the recording machine of such number or if a notice is pasted at the door of the registered address or the last known address of the Client.
 6. The Client agrees that he will send any communication or notice, to LGT Capital Markets Private Limited in writing through Letter or by personal delivery duly acknowledged by LGT Capital Markets Private Limited or by registered post sent at the registered address of LGT Capital Markets Private Limited mentioned above in page no-3.
 7. The Client hereby agrees to ensure that before selling any shares he has the same in hand. Any loss arising of auction / closeout on account of shares not cleared in LGT Capital Markets Private Limited's account will be borne by the Client.
The Client also agrees to bear any loss arising out of auctions due to incomplete instructions, illegible instructions & unclear instructions.
 8. Tape recording of Client conversation: The Client is aware that LGT Capital Markets Private Limited may tape-record the conversations while taking order approvals & providing Trade Confirmations between the Client or the Client's representative and LGT Capital Markets Private Limited, either personally or over the telephone, and the Client hereby specifically permits LGT Capital Markets Private Limited to do so. Such electronic recordings may be relied upon by LGT Capital Markets Private Limited as and when required to resolve disputes in connection with the trading transactions or otherwise.
 9. LGT Capital Markets Private Limited has placed on its website a detailed document explaining to the Client the features, risks, responsibilities, obligations and liabilities associated with securities trading and demat account among others through wireless technology/ internet/smart order routing. The Client agrees to go through the above terms and conditions and it shall be deemed to be sufficient notice by

LGT Capital Markets Private Limited.

10. Risk Associated with Internet Trading/ Securities Trading using Wireless Technology (STWT)/ Smart order Routing(SOR) Client acknowledges and accepts that the price of securities can and does fluctuate, and that any individual securities may experience downward/ upward movements, and may under some circumstances even become valueless. Client therefore appreciates that there is an inherent risks that losses may be incurred rather than profit made, as a result of buying and selling securities. Client acknowledges and accepts that the internet is an inherently unreliable medium of communication and provision of services due to the public nature of the communication and that the accuracy, reliability and soundness of such means of communication and provision of services depends upon, amongst others, the service providers and the telephone, modem, cables, systems, facilities and the like used and operated from time to time by such providers and other participants. Client acknowledges and further accepts that, as a result of such unreliability, there are risks associated in using such means of communication including the congestion, break down, interruption or failure of transmission of the internet service or any communication equipment or facilities, errors, omissions or delays in the transmission and receipt of orders and other data and information and in the execution and confirmation of orders and/or the execution of orders at prices which may be different from those indicated on the service or prevailing at the time the orders were given. There are also other risks involved such as in the unauthorized access, tampering, modification or alteration of the service and/or the system, components and software used or comprised in the service which may result in the use, manipulation, retrieval or the theft or loss of data and information, including Client personal data. The Client agrees that LGT Capital Markets Private Limited shall not be liable/ responsible for such matters and resultant losses under any circumstances.

The systems used by LGT Capital Markets Private Limited for providing Internet Broking services are generally capable of assessing the risk of the Client as soon as the order comes in. However, due to any reason whatsoever, if the order is processed without sufficient risk cover from the Client, Client shall be bound by such trade and shall provide such sums as may be required to meet his liability under the trade.

Best Execution Policy for Smart Order Routing (SOR):

This Best Execution Policy sets forth policy and execution methodology for Client execution on the best terms. Upon acceptance of a Client order for securities listed on a securities exchange within India and on specific Client instruction regarding execution, trading member shall endeavor to execute that order in accordance with the following policy: Where the security is listed and/or traded on multiple recognised stock exchanges (multiple listing), LGT Capital Markets Private Limited shall determine the recognised stock exchange where to route the order or part of the order based on factors like price, costs, speed likelihood of execution and settlement size and nature relevant to the execution of the order.

11. The Client is requested to update details (Contact details, Financial details, along with source of income, Beneficial Owner etc.) periodically. Also the Client is required to provide such details as per PMLA Act, Rules, guidelines issued thereupon as and when sought by LGT Capital Markets Private Limited failing which necessary actions as deemed fit as per regulations will be initiated.

The Client hereby declares that they have read and understood the contents and provisions of the PMLA Act 2002, Rules & guidelines issued thereupon and further confirm that they shall adhere to all the provisions of PMLA Act 2002, Rules & guidelines issued thereupon while dealing in securities markets.

The Client further undertake and confirm that:

- a) I do not have any links with any unlawful Persons / institutions.
- b) I am not involved in any unlawful activity & the investment money is derived from proper means & not connected with the proceeds of crime nor involve any black or Hawala Money in any manner.

12. Any Authorization shall always be subject to revocation at any time by the Client. However, this will be effective after the Client clears all the dues payable to LGT Capital Markets Private Limited.

13. General

- i) The Client agrees that LGT Capital Markets Private Limited shall not be liable or responsible for non-execution of the orders of the Client due to any link/system failure, at the Client/ LGT Capital Markets Private Limited's/exchange's end.
- ii) The Client hereby authorizes LGT Capital Markets Private Limited to consider his account balances at consolidated level across various segments and thereby authorises to adjust / offset / intersegment transfer of fund / securities balances for the purpose of meeting margin requirement/ margin reporting, limit setting, meeting settlement obligations etc. or for any other securities transactions purposes.
- iii) Client understands and agrees that the services availed from LGT Capital Markets Private

Limited is of commercial nature and any dispute with LGT Capital Markets Private Limited in this regard shall be subjected to Exchange dispute redressal mechanism provided in this application and the consumer forum has no jurisdiction to entertain the same.

- iv) Exchanges have issued circulars, cautioning the investors at large on unsolicited emails and SMS. In this reference you are requested to remain cautious on the unsolicited emails and SMS advising to buy, sell or hold securities and trade only on the basis of informed decision. Investors are advised to invest after conducting appropriate analysis of respective companies and not to blindly follow unfounded rumours, tips etc. Further, you are also requested to share your knowledge or evidence of systemic wrong doing, potential frauds or unethical behaviour through the anonymous portal facility provided on Exchange(s) on their Websites. As per prevailing regulatory guidelines, LGT Capital Markets Private Limited /Exchange(s) may block the funds / securities payout for transactions in such scrips & customers shall abide by the same.
 - v) The Client is informed that dealing in shares of the listed Stock Exchange / Clearing Corporations & listed Depositories shall only be dealt by fit and proper persons as per Regulation 19 & 20 of SECC Regulations & as per Regulation 6(B) of SEBI (Depositories and Participants) Regulations, 2012 & Schedule II of the SEBI (Intermediaries) Regulations, 2008 respectively.
 - vi) The Client hereby confirms that his name is not appearing in UNSC / OFAC list and if in case similar name appears then Client confirm that he is not the same person whose details is mentioned in UNSC / OFAC list.
 - vii) The Client hereby authorises LGT Capital Markets Private Limited to repledge any and all securities pledged as collateral by me from time to time with Exchange(s), Clearing House / Clearing Corporations / Clearing Members for limited purpose of meeting margin requirements as per prevailing regulatory guidelines. The Client further authorises LGT Capital Markets Private Limited to unpledge / invoke such securities which are pledged in his favour for meeting settlement /payin / debit obligations.
 - viii) Client & LGT Capital Markets Private Limited hereby agrees to return/reverse to/from Client, the Securities or the mutual funds that may have been wrongly/ erroneously debited/ credited from/to my demat account with LGT Capital Markets Private Limited that I was not entitled to. LGT Capital Markets Private Limited shall agree the instructions given by me through any modes of communication and shall not be questioned by me and shall be conclusive and binding on me.
 - ix) LGT Capital Markets Private Limited shall not be liable for any loss that may result from failure/ inability of electronic connectivity or rejection of any of the request given by customer.
 - x) I am made aware that there is a facility of Early Pay-in of funds (EPF) with Exchanges/ Clearing Corporations for availing exemption from margin requirements to the extent of EPF done, in advance of trade. I have been made aware that I need to inform LGT Capital Markets Private Limited/ or its Branch to avail Early Pay-in of funds facility.
 - xi) I hereby confirm that I am Fit and Proper in terms of Regulations 19(1) and Regulations 20 of Securities Contracts (Regulation) (Stock Exchanges and Clearing Corporations) Regulations, 2012 (SECC Regulations) & criteria defined in Schedule II of the SEBI (Intermediaries) Regulations, 2008.
14. Force Majeure: LGT Capital Markets Private Limited and/or its agents will not be liable for losses/costs/ damages caused directly or indirectly from:
- (i) any action, omission, suspension of trading, decision or ruling of any Exchange or Regulatory, Governmental or other body or of any other person which is beyond LGT Capital Markets Private Limited's control; or
 - (ii) by acts of God including earthquakes, flood, accident; or
 - (iii) any commotion, insurrection, embargo, industrial dispute, computer, communication, telephone or system failure, war, power failure, equipment or software malfunction, strikes, etc; or
 - (iv) any other conditions, beyond the control of LGT Capital Markets Private Limited.
- The above Force Majeure events do not exempt the Client from fulfilling the obligations in his account with LGT Capital Markets Private Limited.
15. Severance:
- In case anyone or more of the provisions contained in the voluntary clauses becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions contained herein shall not in anyway be affected or impaired thereto.
16. The Client hereby confirm that he is not Authorised Person. Further, in the event Client wishes to obtain any membership of any Stock Exchange(s) or wish to become or Authorised Person of any Trading Member in any Stock Exchange then Client undertake to obtain No-objection certificate from LGT Capital Markets Private Limited prior to making an application to the Exchange(s).

17. I hereby authorize LGT Capital Markets Private Limited to send Trade confirmations, research calls, investment ideas etc. including all commercial communication even though I am registered or may register with National Do Not Call Registry established under the Telecom Unsolicited Commercial Communications Regulations, 2007 or registered or may register under the National Customer Preference Register established under new regulation viz the Telecom Commercial Communications Customer Preference Regulations, 2010.
18. Client is made aware that if he / she is an designated employee of any listed company as per provisions of SEBI Insider trading guidelines, should take precautions while executing securities transactions in Trading window period as declared by the company from time to time. Client has to ensure that on the day of settlement obligation, such security is free for meeting settlement requirement. LGT Capital Markets Private Limited shall not be held responsible for non settlement of obligations if any on account of freezing of companies ISIN as per LODR guidelines.(Listing Obligation Disclosure Requirement)
19. Client can voluntary freeze/block online access of trading account. For further details please refer RMS policy in LGT Capital Markets Private Limited website <https://www.lgtindia.in/en/lgt-capital-markets>

Client's Signature	
Client Name	

Date: Place:

Letter for Securities Trading using Internet and Wireless Technology - Voluntary

To,
LGT Capital Markets Private Limited

Sub: Securities trading using Internet & wireless technology (incl. trading through mobile application).

Dear Sir / Madam,


I _____ registered as your Client having trading code: _____ wish to trade through Internet & wireless technology (including trading through mobile application) in the NSE Cash, NSE F&O segment and BSE cash.

I am interested in carrying securities trading through use of Internet & wireless technology which shall include devices such as mobile phone, PC's & laptop with data card etc. using internet protocol (IP) and /or through mobile application.

I understand that the terms and conditions applicable to internet-based trading will also be applicable to securities trading through use of wireless technology. I am made aware by you regarding all the possible risks including risk of misuse and unauthorized use of username and or password by a third party and the risk of a person hacking into our account on your ITORS (Internet based Trading through Order Routing System) system and, responsibilities and liabilities associated with securities using Internet & wireless technology.

I shall be fully liable and responsible for any and all unauthorized use and misuse of our password and/ or username and also for any and all acts done by any person through your ITORS system on our username in any manner whatsoever.

I hereby confirm you to send my username on my registered e-mail address _____ and therefore request you to enable me for carrying securities trading through use of Internet & wireless technology (Including trading through mobile Application).

Client's Signature	
Client Name	

Date:

Place: _____

Internet Trading - Terms and Conditions (voluntary clauses)

The Stock Broker offers and/or proposes to offer the Internet Trading Service to its Clients; and the Client desires to avail the internet trading service for purchasing, selling or otherwise dealing in securities subject to the terms and conditions set out herein the Client shall be deemed to have read, understood and agreed to the following terms and conditions in the event the Client avails the Internet Trading service provided by the Stock Broker.

1. Definitions

In these terms and conditions (including the recitals above), unless the context otherwise requires the following words shall have the following meanings:

- a. "Exchange Provisions" means the Rules, Byelaws, Regulations, Business Requirements, specification, handbooks, notices, circulars and resolutions of the exchange or any segments of the Exchange in force from time to time.
- b. "Internet Trading" means Internet based Trading through Order Routing System (ITORS), being a system approved by the Exchange for enabling Clients to route their order to Stock Broker over the internet.
- c. "Internet Trading Account Application" means the Client Registration form along with the other supporting documents submitted by the Clients to the Stock Broker to permit the Client to avail of the Stock Broker's Internet Trading Service.
- d. "Internet Trading Service" or "Service" means the service offered by the Stock Broker as approved by the Exchange(s) to its Clients through Internet Trading where under the Clients can route their orders for purchase, sale and other dealings in Securities through the Stock Broker's Internet Trading System as approved by the Exchange(s).
- e. "Password" means an alphanumeric code used by the Client to validate his/her username and accesses the Service
- f. "Username" means an alphanumeric login identification used by the Client for accessing the Service.

2. Internet Trading Service

The Stock Broker provides the internet Trading Service to the Client subject to these terms and conditions and the provisions of the rights & obligations of stock broker, the exchange provisions, SEBI guidelines and the terms of the Website through which Internet Trading Service is provided. The Stock Broker shall be entitled to / alter these terms and conditions and such changes will be highlighted on the trading terminal and such acceptance by the Client will be deemed to be a notice. The use of Internet Trading acceptance by the Client of said terms and conditions including any modifications / alteration thereto.

3. User Name and Password

- 3.1 The Client will be entitled to a username and password, which will enable him to access the Stock Broker's Internet Trading Website for availing of the Internet Trading Service.
- 3.2 The Client is aware that the Stock Broker's Internet Trading Website itself generates the initial password encrypts and passes on the password to the Client. The Client agrees and undertakes to immediately change his initial password upon receipt thereof and subsequently to change his password with the period stipulated by the Stock Broker. The Client is aware that subsequent passwords are not known or available to the Stock Broker.
- 3.3 The Client shall be responsible for keeping the username and password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock Broker's Internet Trading Website using the Client's Username and/or password whether or not such person was authorized to do so.
- 3.4 The Client shall immediately inform the Stock Broker of any unauthorized use of the Client's Username or Password with full details or such unauthorized use including the date of such unauthorized use, the manner in which it was unauthorized used, the transactions effected pursuant to such unauthorized use etc.
- 3.5 The Client acknowledges that he is fully aware of and understands the risks associated with availing of a service for routing orders over the internet including the risk of misuse and unauthorized use of his username and/or password by a third party and the risk of a person hacking into the Client's account on the Stock Broker's Internet Trading Website and unauthorized routing orders on

behalf of the Client through the System. The Client shall be fully liable and responsible for any and all unauthorized use and misuse of his password and/or username and also for any and all acts done by any person through Stock Broker's Internet Trading Website on the Client's username in any manner whatsoever.

- 3.6 The Client undertakes to ensure that the password of the Client and/or his authorized representative are not revealed to any third party since authentication technologies and strict security measures are required for the internet trading through order routed system.
 - 3.7 The Client shall log off from the Stock Broker Internet Trading Website at any time the Client is not accessing or using the Internet Trading service and any liability incurred to the Client as a consequence of the Client not logging off the service shall be borne solely by the Client.
 - 3.8 The Client shall immediately notify the Stock Broker in writing with full details if:
 - (i) He discovers or suspects unauthorized access through his User name, Password or account.
 - (ii) He notices discrepancies that might be attributable to unauthorized access.
 - (iii) He forgets his password or
 - (iv) He discovers a security flaw in the Stock Broker's Internet Trading Website
 - 3.9 In any of the above events specified in clause 3.8, the Client shall immediately change his password. However, if the Client is unable to change his password by reason of him having forgotten his password or his password having been unauthorizedly changed by some other person or for any other reason then the Client shall immediately request the Stock Broker in writing to discontinue his password; and thereupon the Stock Broker shall block the login to discontinue the use of the Client's password and Stock Broker's Internet Trading Website shall generate a new password for the Client which shall be communicated to the Client. At no point in time shall the Stock Broker be liable for any loss, whether notional or actual, that may be suffered by the Client on account of the misuse of the password.
4. The Client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Member and the Exchange do not make any representation or warranty that the Member's IBT Service will be available to the Client at all times without any interruption.
 5. The Client shall not have any claim against the Exchange or the Member on account of any suspension, interruption, nonavailability or malfunctioning of the Member's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Members/Exchange end for any reason beyond the control of the Member/Exchanges.

Client's Signature	
Client Name	

Date:

Place: _____

Mandate to recover demat account charges

Authorisation to debit trading account for the demat account charges


CDSL BO ID:

Trading account (Unique Client Code – UCC):

I have a demat account & Trading account as mentioned above with: LGT Capital Markets Private Limited.

I hereby authorise LGT Capital Markets Private Limited to debit from my aforementioned trading account, all the Depository Participant charges payable towards the demat account including annual maintenance charges, transaction charges, applicable statutory levies etc.

Any such sum debited from my trading account, towards payment of Depository Participant Charges for my demat account shall be binding on me.

	Sole/First Holder
Client's Signature	
Client Name	

Date:

Place: _____

Consent for Receiving SMS / Email Alerts from concerned Stock Exchanges/ Depositories

I/We hereby express my/our intent to avail the SMS and/or Email alert facility provided by the respective Exchanges/ Depositories.

This facility will allow me/us to receive details of the transactions executed in my/our trading account with LGT Capital Market Private Limited on a daily basis.




I/We confirm and acknowledge the following:

1. The SMS and/or Email alerts will be sent to the Email ID and/or Mobile Number registered in my/our Know Your Client (KYC) records, as maintained with LGT Capital Market Private Limited.
2. I/We understand that it is my/our responsibility to ensure that the Email ID and/or Mobile Number provided in the KYC form are accurate and updated at all times. Any changes to the registered contact details will be communicated promptly to LGT Capital Market Private Limited to ensure uninterrupted receipt of alerts.
3. I/We agree that these alerts are provided by the respective Exchanges/ Depositories as a mechanism to enhance transparency and provide timely transaction information. However, the accuracy of such alerts may be subject to Exchange/ Depositories systems and processes.
4. I/We understand and accept that the alerts will contain information specific to my/our daily transaction details and shall not serve as a confirmation of trade execution or settlement obligations.
5. I/We indemnify LGT Capital Market Private Limited and the respective Exchanges/ Depositories against any liability arising from the misuse, non-receipt, or delay of such alerts caused by any technical, network, or other issues beyond their control.

Kindly proceed with enabling the SMS and/or Email alert facility as per the terms mentioned above.

☐ SMS ☐ EMAIL ☐ BOTH

(The above facility is provided by Exchanges / Depositories will be activated once the details are verified by Exchanges / Depositories confirmed by you)

	Sole/First Holder	Second Holder	Third Holder
Client's Signature			
Client Name			

Date:

Place: _____

Family Declaration – Email/ Mobile Updation in Family Codes
(Compulsory in case having common email & mobile in more than one A/C in LGT Capital Markets Private Limited)

Date:












To,
 LGT Capital Markets Private Limited
 201/202, Kanakia Wallstreet, Wing B,
 Andheri Kurla Road, Andheri East, Mumbai-400093

Sub: Family Declaration for registering common Mobile / Email details

Dear Sir/Madam,

I and my family members hereby request that mobile number and email id, as mentioned on KYC Page shall be considered in your records for the purpose of receiving communication from LGT Capital Markets Private Limited or Stock Exchanges/ Depositories with regard to trading/ demat transactions executed by me/ us through LGT Capital Markets Private Limited.

Thus, any communication relating to my/ our trading and demat accounts should be sent to mobile number and e-mail id mentioned on KYC Page. This facility shall be provided to me/us as an exception, for my/ our convenience of receiving transaction details at a single mobile number and e-mail id. I/ we understand that for the purpose of availing the above facility by the family members where **"family" means self, spouse, dependent children and dependent parents.** (As per the SEBI Guidelines).

Sr. No	Client Name	Client ID/ UCC	Relationship	Client's Signature
1			Self (Mandatory)	
2			Dependent Parent - Mother	
3			Dependent Parent - Father	
4			Spouse	
5			Dependent Daughter	
6			Dependent Daughter	
7			Dependent Son	
8			Dependent Son	
9			Non-Individual like company / HUF / Partnership etc.	
10			Non-Individual like company / HUF / Partnership etc.	
11			Non-Individual like company / HUF / Partnership etc.	

(In case of Non-Individual Person Should be either Director / Authorised Person / Partner / Karta of HUF/Partnership etc.) (In case of additional Son / Daughter/Non Individual kindly provide details in separate sheet.)

NRI DECLARATION

Date:

To,
 LGT Capital Markets Private Limited
 201/202, Kanakia Wallstreet, Wing B,
 Andheri Kurla Road, Andheri East, Mumbai-400093




Dear Sir/Madam,

I/We _____ have requested you to open the trading and demat account with you. I/We have given the following address in the account opening documents which is on the basis of my PO. Box no. My/Our complete address as on date is as follows: _____

In case any changes in my/our above mentioned address I/We will intimate to LGT Capital Market Private Limited. I/We have complied with, and will continue to comply with, FEMA regulations and other applicable laws.

Thanking You,

Yours truly,

	Sole/First Holder	Second Holder	Third Holder
Client's Signature			
Client Name			

Date:

Place: _____

*To be signed by second and/or third holder only if he / she is NRI. Not to be signed by second and/or third holder, if he / she is resident Indian

For Individual

Voluntary Document

Date:

To,
 LGT Capital Markets Private Limited
 201/202, Kanakia Wallstreet, Wing B,
 Andheri Kurla Road, Andheri East, Mumbai-400093

Sub: Declaration of Additional Names as per other valid documents

Dear Sir/Madam,

With regards to captioned subject I/We Mr. / Ms. _____
 _____ is made aware that my/our trading / demat account with LGT Capital Markets Private Limited shall be opened in my/our name as per income tax website and the same shall be updated in Regulatory records by LGT Capital Markets Private Limited.

Besides name as per income tax site, I/We also wish to update / register one of my/our below mentioned additional name in your records which are also acceptable and are valid as per applicable statutes for which necessary documents are provided by me/us.

Name as per Aadhaar: _____

Name as per Bank: _____

Name as per PAN Card: _____


Name as per Voter ID Card: _____

Name as per Passport: _____

Name as per Driving License: _____

Name as per Marriage Certificate: _____

(In case of females)

Client's Signature	
Client Name	

Date:

Place: _____

Declaration of Related Companies

I/We declare that for the listed entities as mentioned below, I/We and /or, my/our relatives are either Promoter/ Beneficial Owner / Director / Designated Employee / Key Managerial Personnel / Connected person as defined in SEBI (Prohibition of Insider Trading) Regulations.

(Please indicate the same in Nature of Interest.)

First Holder




Sr. No	Name	Name of the Company	Nature of Interest	Remarks

Second Holder

Sr. No	Name	Name of the Company	Nature of Interest	Remarks

Third Holder

Sr. No	Name	Name of the Company	Nature of Interest	Remarks

	Sole/First Holder	Second Holder	Third Holder
Client's Signature			
Client Name			

Date:

Place: _____

Aadhaar Consent

Consent to share Aadhaar Details: ☐ Yes ☐ No

Aadhaar Number	Name	Signature
<div><div>X</div><div>X</div><div>X</div><div>X</div><div>X</div><div>X</div><div>X</div><div>X</div><div></div><div></div><div></div><div></div></div>		<div></div>
<div><div>X</div><div>X</div><div>X</div><div>X</div><div>X</div><div>X</div><div>X</div><div>X</div><div></div><div></div><div></div><div></div></div>		<div></div>
<div><div>X</div><div>X</div><div>X</div><div>X</div><div>X</div><div>X</div><div>X</div><div>X</div><div></div><div></div><div></div><div></div></div>		<div></div>

I/We hereby provide my/our consent in accordance with Aadhaar Act, 2016 and regulations made there under, for (I) collecting, storing and usage (ii) validating/authenticating and (iii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made there under) and PMLA.





LGT Capital Markets Private Limited

201/202, Kanakia Wallstreet, Wing B, Andheri Kurla Road, Andheri East, Mumbai-400093