



PHILLIP VENTURES IFSC PVT. LTD.

CLIENT REGISTRATION FORM – FOR INDIVIDUALS

SEBI Reg No - INZ000263333

(Stock Broker for operating in GIFT IFSC)

Registered office address: Unit No. 521, 522, Signature Building, 5th floor, Block 13B, Zone I,
Gift SEZ, Gandhinagar - 382355, Gujarat, INDIA.

Ph: 079 - 66518002

Email : phillipifsc@phillipcapital.in

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

Important Instructions:

- A) Fields marked with "*" are mandatory fields.
 B) Tick '✓' wherever applicable.
 C) Please fill the form in English and in BLOCK letters.
 D) Please fill the date in DD-MM-YYYY format.
 E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.
- F) Please read section wise detailed guidelines / instructions at the end.
 G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 H) List of two character ISO 3166 country codes is available at the end.
 I) KYC number of applicant is mandatory for update application.
 J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode



For office use only

Application Type*	☐ New	☐ Update
(To be filled by financial institution)	KYC Number	(Mandatory for KYC update request)
Account Type*	☐ Normal	☐ Minor ☐ Aadhaar OTP based E-KYC (in non-face to face mode)

☐ 1. PERSONAL DETAILS* (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				
Date of Birth*	DD - MM - YYYY			
Gender*	☐ M- Male	☐ F- Female	☐ T-Transgender	
PAN*			☐ Form 60 furnished	

☐ 2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
- ☐ B-Voter ID Card
- ☐ C-Driving Licence
- ☐ D-NREGA Job Card
- ☐ E-National Population Register Letter
- ☐ F-Proof of Possession of Aadhaar

- II ☐ E-KYC Authentication
- III ☐ Offline verification of Aadhaar

☐ PHOTO*

Address

Line 1*				
Line 2				
Line 3				
District*	Pin/Post Code*	State/U.T Code*	City / Town / Village*	ISO 3166 Country Code*

☐ 3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)☐ Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
- ☐ B-Voter ID Card
- ☐ C- Driving Licence
- ☐ D-NREGA Job Card
- ☐ E- National Population Register Letter
- ☐ F - Proof of Possession of Aadhaar

- II ☐ E-KYC Authentication
- III ☐ Offline verification of Aadhaar

IV ☐ Deemed Proof of Address - Document Type codeV ☐ Self Declaration

Address

Line 1*				
Line 2				
Line 3				
District*	Pin / Post Code*	State/U.T Code*	City / Town / Village*	ISO 3166 Country Code*

☐ **4. CONTACT DETAILS** (All communications will be sent to Mobile number/ Email-ID provided) (Please refer instruction C at the end)

[illegible]

☐ 5. REMARKS (If any)

6. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. Incase any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date :

D	D
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 -

M	M
---	---

 -

Y	Y	Y	Y
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[illegible]

Signature / Thumb Impression of Applicant

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC Process

☐ Equivalent e-document ☐ Video Based KYC

KYC VERIFICATION CARRIED OUT BY

Date	DD	MM	YY	YY
Emp. Name				
Emp. Code				
Emp. Designation				
Emp. Branch				

INSTITUTION DETAILS

[illegible]

A Clarification / Guidelines on filling 'Personal Details' section

- 1 Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory : Mother's name, Spouse's name, Father's name.

B Clarification / Guidelines on filling 'Current Address details' section

- 1 In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address':

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government 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.
- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository

C Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

D Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person, if available.

E Clarification on Minor

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

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 & Nagar Haveli and Daman & Diu	DD	Maharashtra	MH	Uttar Pradesh	UP
Ladakh	LA	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	GO	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 Island	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Island	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Moyotte	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	SI
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	MZ	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	Hongkong	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 Cote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion Reunion	RE	Virgin Island, 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 Curacao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy Saint BartheJemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kittsand Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French Part)	MF		

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

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 B) Tick '✓' wherever applicable.
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 E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated
 F) Please read section wise detailed guidelines / instructions at the end.
 G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 H) List of two character ISO 3166 country codes is available at the end.
 I) KYC number of applicant is mandatory for update application.



For office use only Application Type* ☐ New ☐ Update ☐ Delete
 (To be filled by financial institution) KYC Number (Mandatory for KYC update request)

1. DETAILS OF RELATED PERSON (Please refer instruction D & E at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Updation KYC Number of Related Person (if available*)

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details are optional)

Maiden Name

Father / Spouse Name

Mother Name

Date of Birth* DD - MM - YY YY

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

PAN* ☐ Form 60 furnished

2. PROOF OF IDENTITY AND ADDRESS*

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
- ☐ B-Voter ID Card
- ☐ C- Driving Licence
- ☐ D-NREGA Job Card
- ☐ E- National Population Register Letter
- ☐ F - Proof of Possession of Aadhaar
- II ☐ E-KYC Authentication
- III ☐ Offline verification of Aadhaar

☐ PHOTO*


Address

Line 1*

Line 2

Line 3

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

3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
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- ☐ D-NREGA Job Card
- ☐ E- National Population Register Letter
- ☐ F - Proof of Possession of Aadhaar
- II ☐ E-KYC Authentication
- III ☐ Offline verification of Aadhaar
- IV ☐ Deemed Proof of Address - Document Type code
- V ☐ Self Declaration

Address

Line 1*

Line 2

Line 3

District*

Pin / Post Code*

State / U.T Code*

City / Town / Village*

ISO 3166 Country Code*

4. CONTACT DETAILS

Tel. (Off)

Tel. (Res)

Mobile

Email ID

5. REMARKS (If any)

6. APPLICANT DECLARATION

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

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

Date :

Place:

Signature /Thumb Impression of Applicant

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

☐ Certified Copies

☐ E-KYC data received from UIDAI

☐ Data received from Offline verification

☐ Digital KYC Process

☐ Equivalent e-document

☐ Video Based KYC

KYC VERIFICATION CARRIED OUT BY

INSTITUTION DETAILS

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

Name

Code

[Employee Signature]

[Institution Stamp]

PHILLIP VENTURES IFSC PVT. LTD. (Phillip Ventures)

ADDITIONAL KYC DETAILS FOR OPENING A TRADING ACCOUNT

(INDIVIDUALS AND NON INDIVIDUALS)

A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch address	Bank account no.	Account Type: Saving/Current/ Others-In case of NRI/NRE/NRO	MICR Number	IFSC code

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant /Commodity Participant Name	Depository Name (NSDL/CDSL/Comtrack Participant/ComRIS Participant)	Beneficiary name	DP ID	Beneficiary ID (BO ID)

GST Registration Number :-

(GST Registration Certificate needs to be attached as proof). NOTE : For availing GST credit, providing GST number is mandatory.

C. TRADING PREFERENCES

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

Exchange	Cash Segment	Derivatives segment (including Commodity Options)	Currency Derivatives segment	Securities Lending and Borrowing (SLB)	Mutual Funds (Online)	Corporate Bonds/Debts
NSE						
BSE						

D. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities/commodities during the last 3 years	
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E. DEALINGS OTHER STOCK BROKERS

Whether dealing with any other stock broker (in case dealing with multiple stock brokers, provide details of all)

Name of Stock Broker: _____

Client Code: _____ Exchange: _____
Details of disputes/dues pending from/to such stock broker/ _____

F. ADDITIONAL DETAILS

Whether you wish to receive ☐ Physical contract note ☐ Electronic Contract Note (ECN) (Please specify): _____
{ If ECN then please fill in ECN declaration}

Specify your Email id, if applicable: _____

Whether you wish to avail of the facility of Internet trading ☐ Wireless technology ☐
(Please specify): _____

Number of years of Investment / Trading Experience ____ (Years in stocks) ____ (Years in Derivatives) ____ (Years in Commodities)
No prior experience _____

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: _____ (Annex sheet separately)

G. Gross Annual Income in USD (\$) (details (Please tick (√))

☐ Below 100k ☐ 100 – 500k ☐ 500k - 1 million ☐ 1 – 2.5 million ☐ > 2.5 million
OR

Net-worth in \$ _____ as on date _____ dd/mm/yyyy (Net worth should not be older than 1 year)

H. Occupation

☐ Private sector service ☐ Public sector ☐ Government service ☐ Business ☐ Professional ☐ Agriculturist
☐ Retired ☐ Housewife ☐ Student ☐ Forex Dealer ☐ Others _____

I. Please tick, if applicable: ☐ Politically exposed person ☐ Related to a Politically exposed person.

J. INTRODUCER DETAILS

Name of the Introducer: _____
Status of the Introducer ☐ Remisier ☐ Authorized Person ☐ Existing Client Others, please specify _____
Address and phone no. of the Introducer: _____

Signature of the Introducer _____

Whether you wish to receive alerts from Stock Exchanges: ☐ SMS ☐ Email ☐ Both SMS & Email

K. NOMINATION DETAILS (for individuals only)

☐ I/We wish to nominate ☐ I/we do not wish to nominate

Name of the Nominee: _____ Relationship with the Nominee: _____
PAN of Nominee: _____ Date of Birth of Nominee: _____
Address and phone no. of the Nominee: _____

If Nominee is a minor, details of guardian:

Name of guardian: _____

Address and Phone No. of Guardian: _____

Signature of guardian: _____

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

1) Name: _____ 2) Name: _____

Address: _____ Address: _____

Signature: _____ Signature: _____

DECLARATION AND UNDERTAKING

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.
4. I/we will give all the required documents as required/demanded by any statutory or regulatory authority or Phillip Ventures from time to time.
5. I/We am/are and will be in compliance with the laws/regulations etc of my/our country for trading in IFSC through Phillip Ventures IFSC Pvt Ltd.
6. I/we will comply with the rules, bye-laws, regulations, notifications, circulars, guidelines etc issued by regulatory/ statutory authority from time to time and shall indemnify Phillip Ventures incase of any non-compliance/violation in this regard.
7. I/we understand that Phillip Ventures is acting as my/our agent and cannot be held liable for transactions executed on the Exchange platform. In case Phillip Ventures does not receive payout of funds / securities/commodities/ collaterals from the Exchange / Clearing Corporation /Clearing House/Depository/Counterparty, then Phillip Ventures is not liable to give such payout to me/us and Phillip Ventures shall not be liable in whatsoever manner and I/we cannot and will not claim the same from Phillip Ventures. In case part payout is received from the Exchange / Clearing Corporation /Clearing House/Depository/ Counterparty, then I/we shall also get part payout and I/we cannot and will not claim the balance payout from Phillip Ventures. In case of fraud/violation/non-compliance of any type by any entity ie. entities involved in clearing and settlement other than Phillip Ventures in the process of transactions, clearing and settlement Phillip Ventures cannot and will not be held liable in whatsoever manner and I/we cannot and will not file any claim(s) of whatsoever nature against Phillip Ventures in this regard. Incase where pay-out of funds/securities/commodities is given by Phillip Ventures to me/us and Exchange / Clearing Corporation /Clearing House/Depository/ Counterparty takes back such pay-out, then Phillip Ventures has the right to take back the same from me/us and I/we will be liable to pay the same to Phillip Ventures.
8. I/we understand and agree that there is no fixed return in equities, commodities, currencies, derivatives or any other asset classes or segments traded on the exchange or OTC (Over the Counter) products. The principal or the initial investment (in cash or collateral or any other asset class) can also be lost fully and losses can be higher than initial investment.
9. I / We further confirm that I / We have also read and understood the various risks associated with trading in various segments / products of the securities market and other markets and trading/investment decision is my/our sole responsibility.
10. I/we submit to the exclusive jurisdiction of the Courts exercising jurisdiction over the International Financial Service Centre.

Place _____

Date _____

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

***Form need to be signed by all the authorized signatories.**

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

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

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

Date

.....
Signature of the Authorised Signatory

Seal/Stamp of the Stock Broker

INSTRUCTIONS/ CHECK LIST

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

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

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. *As per SEBI Circular No. IMD/HO/FPIC/CIR/P/2017/003 dated 4th January, 2017, registered FPIs ("FPIs"), proposing to operate in IFSC, shall be permitted, without undergoing any additional documentation and/or prior approval process
4. Demat master or recent holding statement issued by DP bearing name of the client.
5. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
6. For non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

CONTROL CUM TARIFF SHEET

DATE :

ACCOUNT NO. :

MUM :

Name of Client :

Introduced By :

IB / DSA (Name & Code NO.)

MUM- /

RM:

Sub Broker Code:

Branch:

Currency RM

SBU

Orders to be received by (Name and Signature)

Primary Dealer

Secondary Dealer

Name

Signature

Category:

2

3

T + 7

Yes

No

Auto Square Off

Yes

No

Account Type (Please Tick)

Direct

ODIN

Online

Omnesys

Cash / Derivatives Segment

Brokerage Schedule

Capital Market Segment (Cash)

Trading

Brokerage (Cash)

For BO Use (Table No.)

1st Leg

2nd Leg

Minimum

%

%

Paise

Capital Market Segment (Delivery)

Delivery

Brokerage (Delivery)

Brokerage (SLBM)

For BO Use (Table No.)(Delivery)

For BO Use (Table No.) (SLBM)

Default

Minimum

%

%

Paise

Paise

Equity Derivatives Segment :

Normal

Brokerage (Future)

Brokerage (Option)

For BO Use (Table No.)

1st Leg

2nd Leg

Life (2nd Leg upto Expiry)

Exercise Assignment

Minimum

%

%

%

%

Paise

Paise

Currency Derivatives Segment

Normal

Futures

Options

For BO Use (Table No.)

1st Leg

2nd Leg

Life (2nd Leg upto Expiry)

Exercise Assignment

Minimum

%

%

%

%

Paise

Paise

Statutory/regulatory charges as applicable from time to time shall be charged separately to the client.

Other charges as levied by Phillip Ventures IFSC Pvt Ltd and intimated to the client.

Proposed by

(Sign with R.Stamp of IB / Emp)

Client's signature

Approved By

Note: All the highlighted fields are mandatory fields to be filled in.

SELF CERTIFICATION FOR INDIVIDUAL ACCOUNTS FOR FATCA / CRS

(Mandatory for each Account Holder)

Note – If you have any questions about your tax residency, please consult your professional tax advisor.

Name of Account Holder :	
Country of Birth	
Country / ies of Citizenship	
US person	Yes ☐ No ☐

Are you a tax resident of any country other than India

Yes

☐

No

☐

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

Name of Country	Tax Identification Number / Other Equivalent Number	Identification Type

Declaration:

1. I understand that Phillip Ventures IFSC Pvt. Ltd. is relying on this information for the purpose of determining my status in compliance with FATCA/CRS. Phillip Ventures IFSC Pvt. Ltd is not able to offer any tax advice on CRS or FATCA or its impact on me. I shall seek advice from professional tax advisor for any tax questions.
2. I agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
3. I agree that as may be required by domestic regulators/tax authorities, Phillip Ventures IFSC Pvt. Ltd may also be required to report, reportable details to the concerned entities/authorities to whom FATCA/CRS norms are applicable or close or suspend my account.
4. I certify that I will provide the information on this form and to the best of my knowledge and belief the certification is true, correct, and complete including the taxpayer identification number.

Client's Signature	(S)
Date	