



Most Important Terms and Conditions for Digital Account Opening

Client Name : _____

Date: _____

PAN: _____

Application no. : _____

I, hereby undertake, authorize, confirm, declare, bound, abide and agree to Kotak Securities Limited (KSL) that: I have applied and consented for opening a trading and demat account digitally through any electronic means / device with KSL. In order to facilitate the account opening, I have provided all the necessary details to the Relationship Manager (RM) of KSL

Including emailid _____ and Mobile number _____ and hereby confirm that any and all such details have been entered digitally by the RM in my presence and with my due consent and authorization. I hereby authorize KSL to register any and all such details to my accounts with KSL and confirm that I shall not dispute to any such details provided by me and shall be bound by the same.

I confirm having received/read and understood the contents of the Rights and Obligations, Risk Disclosure Document, Additional risk disclosure documents for Options trading, Guidance Note including any such documents pertaining to commodities, Policies and Procedures for client dealings, Additional risk/obligation/liability statement, Standard set of documents, Investor Charter’s etc. in electronic form, available at: <http://www.kotaksecurities.com/ksweb/Important-Policies> . I do hereby agree to abide by such provisions as outlined in these documents. I have read, understood and confirm to abide by all the terms and conditions in the entire account opening form, Power of Attorney and related documents and I confirm that my below signature be considered as specimen signature as well as signature on Part A of the KYC form as required by KRA/SEBI. I have no objection to Kotak Securities Ltd cropping my signature and pasting it on the account opening documents for completing the account opening process. I wish to proceed with the account opening without providing a copy of my signature proof. In case I submit any physical request post account opening, I agree and confirm to provide the signature proof copy and other necessary documents in order to facilitate the same. I am aware that my signature is required only on MITC, Power of Attorney and Nominee declaration form and I shall not dispute to any of the Data/details and other terms and conditions for the reason of not signing on the KYC/Account opening form and/or any other such documents. I agree to abide by the Bye Laws and Business Rules of NSDL. I have read and understood the current rules and regulations of the Depository and the Depository Participants pertaining to an account, and I agree to abide by and be bound by the same. The details furnished through the above process of digital account opening are true and correct to the best of my knowledge and belief and I undertake to inform KSL of any changes therein, immediately. If the above information is found to be false, untrue, misleading or misrepresenting, I shall be held liable for it.

Client Signature as per Supporting Document

Sign if Bank Signature is different from Supporting Document provided

Box containing a red 'X' mark, indicating a missing or invalid signature.

Empty box for providing a signature if it differs from the supporting document.

Office use : I undertake that I have made the client aware of ‘Policy and Procedures’, tariff sheet and all the non-mandatory documents. I have also made the client aware of ‘Rights and Obligations’ document(s), RDD and Guidance Note 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. I/we confirm that all details provided on sales app are as provided by client only. I have met the customer in-person and interviewed him. I have verified the documents provided by customer with original.

Employee Name : _____ Employee code : _____ Designation : _____

Signature : _____ Place of Verification: _____ Date : _____

Organization name: Kotak Securities Limited

VOLUNTARY

Demat Debit and Pledge Instruction (DDPI)			Date							
			D	D	M	M	Y	Y	Y	Y
I/we hereby give Demat Debit and Pledge Instruction to Kotak Securities Limited (KSL) for my/our demat accounts mentioned below:										
Demat account of the client for which this DDPI is given										
Demat account to be opened through Application / Form No:										
Client ID				with DP ID						
First Account holder Name Demat										
Second Account holder Name Demat										
Third Account holder Name Demat										
Details of Demat accounts of KSL where securities can be transferred and/or pledged using below mentioned DDPI are provided under Schedule I.										
Sr. No.	PURPOSE	Signature of Client*								
		First Holder			Second Holder			Third Holder		
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.	✗								
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	✗								
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	✗								
4	Tendering shares in open offers through Stock Exchange platforms	✗								
* the same may be eSigned or signed physically										
Schedule I: Demat accounts where securities can be transferred / pledged										
Note : KSL-Kotak Securities Ltd. ICCL-Indian Clearing Corporation Ltd. NCL-NSE Clearing Ltd.										
CM BP ID/DP ID	Name	Description	CM BP ID/DP ID	Name	Description					
IN550379	KSL	NSE-CM-Pool A/c	1202510000009549	KSL	KSL-CDSL-CUSA A/c					
IN606738	KSL	BSE-CM-Pool A/c	25898262/IN300214	KSL	KSL NSDL A/c - Pledging of Client Securities					
IN620031	ICCL	BSE-Star MF CLG Pool	1202510000009587	KSL	KSL CDSL A/c - Pledging of Client Securities					
IN565576	NCL	NSE MFSS CLG Pool	26528649/ IN300214	KSL	TM/CM-Client Securities Margin Pledge Account					
1202510000000041	KSL	NSE-CDSL-CM-Pool A/c	26528657/IN300214	KSL	TM -Client Securities under Margin Funding Account					
1202510000000016	KSL	BSE-CDSL-CM-Pool A/c	1202510000009781	KSL	Corporate TM/CM CMPA					
IN530824/26089554/IN300214	KSL	NSE-NSDL-CUSA A/c	1202510000009777	KSL	Client Securities Margin Funding Account					
IN610833/26093149/IN300214	KSL	BSE-NSDL-CUSA A/c								
<input type="checkbox"/> We accept Kotak Securities Limited (Stock Broker)										

From
(Client)

Date

To
Kotak Securities Ltd

Dear Sir,

This is with reference to the member client arrangement I/We have/ propose to have with Kotak Securities Ltd (KSL). I/We confirm that I have been introduced to KSL by

_____, who /which is an authorized person / Sub broker of KSL.

I/ We acknowledge and accept that the liability of KSL for the acts and omissions of the Authorized person / Sub broker arises only in respect of dealings/transactions executed through KSL in the normal course of business and that KSL is not liable for such dealings/transactions which arises out of a private arrangement between me/ us and the authorized person / Sub broker to which KSL is not privy.

I/We also agree and accept that for any errors and omissions committed by the Authorized person/Sub broker with regard to dealings/transactions arising out of private arrangement between me/us and the Authorized Person / Sub broker to which KSL is not privy, I /we will hold only the Authorized person/Sub broker liable and not KSL.

All depository instructions shall be duly filled in by me/us before the same is lodged with the office of KSL. KSL shall not be responsible for any loss, damages, and disputes arising out of incomplete / incorrect depository instruction deposited by me/us.

Yours faithfully

Accepted

✘

Client

Authorized person/Sub-broker

Running Account Authorisation (strike off if not applicable)

 To,
 Kotak Securities limited
 Client code: _____

Date	D	D	M	M	Y	Y	Y	Y
Query ID								

Dear Sir,

In order to facilitate operations of my/our trading account opened under the aforesaid client code, I/we would like to authorize Kotak Securities Ltd. ("KSL") to maintain a running account, instead of settlement-to-settlement clearance of funds due to me/us. In this regard I/we hereby authorize KSL to maintain a running account in accordance with circulars/guidelines issued by SEBI/Exchanges from time to time.

Periodic settlement as indicated by me/us below (hereinafter referred as 'settlement period'), will be done by KSL on the first Friday of the Month/Quarter as per the preference opted by me/us . I/We agree that I/we shall be liable to pay the debit standing to my account on the settlement date or any other date.

I/We agree that KSL may, at the time of periodic settlement retain funds as may be allowed by the Exchanges/SEBI, towards margin obligations on current and future transactions and such funds towards any other unbilled services/charges for services availed from KSL.

I/We agree that KSL shall not be liable for any claim for loss, loss of profit, loss of interest or for any consequential, incidental, special or exemplary damages, caused by retention/settlement of such funds under aforesaid arrangement or otherwise.


I/We am/are aware that the authorization will be in force till the same is revoked by me/us. Further I/we may revoke the authorization any time making a valid request for revocation. KSL may release the funds to me/us on settlement date or on request or on revocation of authority, if sufficient margins in respect of my/our trading, across the Stock Exchange(s) and across the segment of the Stock Exchange(s) are available with KSL.

I/We am/are aware that for the purpose of settlement of funds, the mode of transfer of funds shall be only by way of electronic transfer viz NEFT, RTGS etc.

I/We shall prefer settlement of fund at such frequency as ticked below. Frequency Tick (✓) - any one.

Frequency	Tick (✓) - any one
Monthly basis for all Segments	<input type="checkbox"/>
Quarterly basis for all Segments	<input type="checkbox"/>
Daily basis (on Settlement to Settlement basis) in Cash and Monthly for other segments	<input type="checkbox"/>
Daily basis (on Settlement to Settlement basis) in Cash and Quarterly for other segments	<input type="checkbox"/>

Signature of Account Holder





Date	D	D	M	M	Y	Y	Y	Y
Query ID								

ACKNOWLEDGEMENT

 Received the Application for Running account authorization _____
 Having trading Code _____

Employee Signature



 For Kotak Securities Ltd. (Company seal)
 Name of the Employee _____
 Employee Code: _____

Multiple Nomination Form										Query ID								
FORM FOR NOMINATION (To be filled in by individual applying singly or jointly)										Trading Code / UCC								
Date	D	D	M	M	Y	Y	Y	Y	Y	DP ID	I	N	3	0	0	2	1	4
Client ID																		
I / We wish to make a nomination. [As per details given below]																		
Nomination Details																		
<input type="checkbox"/> I / We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																		
Nomination can be made upto three nominees in the account.			Details of 1 st Nominee			Details of 2 nd Nominee			Details of 3 rd Nominee									
1	Name of the nominee(s) (Mr./Ms.)																	
2	Share of each Nominee	Equally [If not equally, Please specify Percentage]		%			%			%			Any odd lot after division shall be transferred to the first nominee mentioned in the form.					
3	Relationship with the Applicant (If Any)																	
4	Address of Nominee(s) City / Place : State & Country :																	
	PIN Code																	
5	Mobile/ Telephone No. of nominee(s) #																	
6	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(s) #																	
12	Email ID of Guardian(s) #																	
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																	
Name(s) of holder(s)										Signature(s) of holder								
Sole / First Holder (Mr./Ms.)										c 4 ✕								
Second Holder (Mr./Ms.)										2 4								
Third Holder (Mr./Ms.)										3 4								
* Mandatory details of witness required for Nomination in case the account holder affixes thumb impression, instead of signature.																		
# Optional Fields (Information required at Serial Nos. 5,6,7,11,12, & 14 is not mandatory)																		
* Mandatory details of witness required for Nomination in case the account holder affixes thumb impression, instead of signature.																		
Name of the Witness					Address of the Witness					Signature of the Witness								
										4								


 Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

ACKNOWLEDGEMENT

Nomination Form

From

having Trading Code

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

Query ID

Client ID

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

Your request will be processed within a tentative period of 7 days from the date of receipt or complete documents in case of queries regarding the status of the request. We request you to call on **Customer Service No. 1800 209 9191**. Demat related complaints write at ks.demat@kotak.com
 For any other queries or complaints write at service.securities@kotak.com

Kotak Infinity, 8th Floor, Bldg. No. 21, Infinity Park, Off Western Express Highway, Gen A.K. Vaidya Marg, Malad (E), Mumbai - 400 097 Tel.: 91-22-4285 6825

Documents Required For A/c. Opening:-

- 1. PAN Card**
- 2. AADHAAR Card**
- 3. Live Photo**
- 4. Cancelled Cheque**

Documents Required For Nomination:-

- 1. Nominee's Identity Proof**

Details Required For A/c. Opening:-

- 1. Mobile Number**
- 2. E-Mail Id**
- 3. Mother's Name**