

TRADEWELL SECURITIES LTD.

Corporate Member – The National Stock Exchange of India Ltd. Cash Market Segment SEBI Regn. No: INB231283533

Future & Options Segment SEBI Regn No.: INF231283533, Currency Derivatives SEBI Regn No.: INE231283533

Bombay Stock Exchange Ltd. Cash Market Segment SEBI Regn. No: INB011283539

Future & Options Segment SEBI Regn No.: INF011283539, MCX-SX Currency Derivatives SEBI Regn No.: INE261283533

Regd. Off : D.No.29-2-10/A, Ground Floor, Rama Mandiram St., Governorpet, Vijayawada-520002 Corp. Off : Plot No.1057-G, Road No.45, Jubilee Hills, Hyderabad-500033

SEBI Reg. No. IN-DP-CDSL-432-2007 Ph : 040-23541258 Fax: 040-23541256

Email : dp@tradewellmail.com, info@tradewellmail.com, Website: www.tradewellsec.com

Know Your Client (KYC)

Application Form (For Individuals Only)

Please fill in ENGLISH and in BLOCK LETTERS with black ink

Application No. :

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document)

Name

Father's/Spouse Name

2. Gender Male Female B. Marital status Single Married C. Date of Birth dd / mm / yyyy3. Nationality Indian Other4. Status Please tick (✓) Resident Individual Non Resident Foreign National (Passport Copy Mandatory for NRI & Foreign National)5. PAN Please enclose a duly attested copy of your PAN card

Unique Identification Number (UID)/Aadhaar, if any :

6. Proof of Identity submitted for PAN exempt cases Please tick (✓)

 UID(Aadhaar) Passport Voter ID Driving Licence Others (Please see guideline 'D' overleaf)

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village

State Country Pincode

2. Contact Details

Tel. (Off.) (ISD) (STD)

Tel. (Res.) (ISD) (STD)

Mobile (ISD) (STD)

Fax (ISD) (STD)

E-mail ID

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

 Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

dd / mm / yyyy

4. Permanent Address of Resident Applicant, if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant.

City / Town / Village

State Country Pincode

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

 Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

dd / mm / yyyy

C. Other Details (please see guidelines overleaf)

1. Gross Annual Income Details Please tick (✓): Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac > 25 Lacs

OR

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

2. Occupation (Please tick (✓) any one and give brief details):

 Private Sector Service Public Sector Government Service Business Professional Agriculturist Retired Housewife Student Forex Dealer Others (Please specify)3. Please tick, if applicable: Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

For definition of PEP, please refer guideline overleaf

4. Any other information:

DECLARATION

SIGNATURE OF APPLICANT

I hereby declare that the details furnished above 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/we are aware that I/we may be held liable for it.

Place:

Date: dd / mm / yyyy

FOR OFFICE USE ONLY

IPV Done dd / mm / yyyy

Tradewell Securities Limited

 (Originals Verified) Self Certified Document copies received (Attested) True copies of documents received

For TRADEWELL SECURITIES LTD.

Authorised Signatory

For TRADEWELL SECURITIES LTD.

Authorised Signatory

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
 2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
 3. If any proof of identity or address is in a foreign language, then translation into English is required.
 4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
 5. If correspondence & permanent address are different, then proofs for both have to be submitted.
 6. Sole proprietor must make the application in his individual name & capacity.
 7. For non-residents and foreign nationals,(allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
 8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
 9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted
 10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
 11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.
3. Bank Account Statement/Passbook - Not more than 3 months old.
 4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
 5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
 6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc.,to their Members.
 7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
 8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

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

E. List of people authorized to attest the documents:

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

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in section D)
2. Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill Not more than 3 months old.

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Know Your Client (KYC)

Application Form (For Non-Individuals Only)

Please fill in ENGLISH and in BLOCK LETTERS with black ink

Application No. :

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (Please write complete name as per Certificate of Incorporation / Registration leaving one box blank between 2 words. Please do not abbreviate the Name)

Name

2. Date of Incorporation

d d / m m / y y y y

Place of Incorporation

3. Registration No. (e.g. CIN)

Date of Commencement of Business

d d / m m / y y y y

4. Status Please tick (✓) Private Ltd. Co. Public Ltd. Co. Body Corporate Partnership Trust / Charities/ N.G.O's FI FII HUF AOP Bank Government Body Non-Government Organisation Defence Establishment Body of Individuals Society LLP Others (Please specify)

5. Permanent Account Number (PAN) (MANDATORY)

Please enclose a duly attested copy of your PAN card

PHOTOGRAPH

Please affix the recent passport size photograph of Authorised Signatory and sign across it

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City/Town/Village

Postal code

State

Country

2. Contact Details

Tel. (Off.) (ISD) (STD)

Tel. (Res.) (ISD) (STD)

Mobile (ISD) (STD)

Fax (ISD) (STD)

E-mail ID

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Bank Account Statement Registered Lease/Sale Agreement of Office Premises Any other proof of address document (as listed overleaf) (please specify)

* Not more than 3 Months old. Validity/Expiry date of proof of address submitted

d d / m m / y y y y

4. Registered Address (if different from above)

City/Town/Village

Postal code

State

Country

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Bank Account Statement Registered Lease/Sale Agreement of Office Premises Any other proof of address document (As listed overleaf) (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

d d / m m / y y y y

C. New Other Details (please see guidelines overleaf)

1. Gross Annual Income Details Please tick (✓): Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac 25 Lacs-1 Crore >1 Crore

2. Net-worth in ₹ *Net worth should not be older than 1 year as on (date) d d / m m / y y y y

3. Name, PAN, DIN/UID, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors

(Please use the Annexure to fill in the details)

4. Is the entity involved/providing any of the following services YES NO- For Foreign Exchange / Money Changer Services YES NO - Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) YES NO- Money Lending / Pawning YES NO

5. Any other information:

DECLARATION

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.

Place:

Date:

NAME &
SIGNATURE(S)
OF AUTHORISED
PERSON(S)

FOR OFFICE USE ONLY

Tradewell Securities Limited

 (Originals Verified) Self Certified Document copies received (Attested) True copies of documents received

For TRADEWELL SECURITIES LTD.

Authorised Signatory

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3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

D. Exemptions/clarifications to PAN

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

E. List of people authorized to attest the documents:

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

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> * Copy of the balance sheets for the last 2 financial years (to be submitted every year) * Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/whole time director/MD(to be submitted every year) * Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations * Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly * Copies of the Memorandum and Articles of Association and certificate of incorporation * Copy of the Board Resolution for investment in Securities market * Authorised signatories list with specimen signatures
Partnership firm	<ul style="list-style-type: none"> * Copy of the balance sheets for the last 2 financial years (to be submitted every year) * Certificate of registration (For registered partnership firms only) * Copy of partnership deed * Authorised signatories list with specimen signatures * Photograph, POI, POA, PAN of partners
Trust	<ul style="list-style-type: none"> * Copy of the balance sheets for the last 2 financial years (to be submitted every year) * Certificate of registration (For registered trust only). Copy of Trust deed * List of trustees certified by managing trustees/CA * Photograph, POI, POA, PAN of Trustees
HUF	<ul style="list-style-type: none"> * PAN of HUF * Deed of declaration of HUF/list of coparceners * Bank pass-book/bank statement in the name of HUF * Photograph, POI, POA, PAN of Karta
Unincorporated Association or a body of individuals	<ul style="list-style-type: none"> * Proof of Existence/Constitution document * Resolution of the managing body & Power of Attorney granted to transact business on its behalf * Authorised signatories list with specimen signatures
Banks/Institutional Investors	<ul style="list-style-type: none"> * Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years * Authorised signatories list with specimen signatures
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> * Copy of SEBI registration certificate * Authorised signatories list with specimen signatures
Army/ Government Bodies	<ul style="list-style-type: none"> * Self-certification on letter head * Authorised signatories list with specimen signatures
Registered Society	<ul style="list-style-type: none"> * Copy of Registration Certificate under Societies Registration Act * List of Managing Committee members * Committee resolution for persons authorised to act as authorised signatories with specimen signatures * True copy of Society Rules and Bye Laws certified by the Chairman/Secretary