

Know Your Client (KYC)

Application Form (For Individuals Only)

- Please fill the form in ENGLISH and in BLOCK letters
- Fields marked * are mandatory.
- Fields marked * are pertaining to CKYC and mandatory only if processing CKYC also

Application Number:

Application type: New KYC KYC Modification

KYC Mode: Normal eKYC OTP eKYC Biometric Online KYC Offline KYC DigiLocker

1. Identity Details (Please Refer Guidelines Overleaf)

PAN Number:

Client Name:

Maiden Name:

Father/Spouse Name:

Mother Name:

Date of Birth:

Gender: Male Female Transgender

Marital Status: Single Married

Nationality: Indian Other

Residential Status: Resident Individual Non-resident Indian

Foreign National Person of Indian Origin

Photograph

Signature

(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC, Select NRI or Foreign National based on Nationality of the individual)

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

<input type="checkbox"/> Aadhaar Card	<input type="text" value="XXXX - XXXX -"/>	<input type="checkbox"/> NREGA Card	<input type="text"/>
<input type="checkbox"/> Passport Number	<input type="text"/>	<input type="checkbox"/> NPR	<input type="text"/>
<input type="checkbox"/> Voter ID	<input type="text"/>	<input type="checkbox"/> Others	<input type="text"/>
<input type="checkbox"/> Driving License	<input type="text"/>		

2. Address Details (Please Refer Guidelines Overleaf)

A. Correspondence Address / Local Address

Address Line 1:

Address Line 2:

Address Line 3:

City / Town / Village: District: PIN Code:

State: Country: Country Code: State/UT Code:

Address Type: Residential/Business Residential Business Registered Office Unspecified

Signature

Name of Account Holder:

Place: Date:

B. Permanent Residence Address of applicant, if different from above A

Address Line 1:

Address Line 2:

Address Line 3:

City / Town / Village: District: State:

Country: Country Code: PIN 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)

<input type="checkbox"/> Aadhaar Card	<input type="text" value="XXXX - XXXX -"/>	<input type="checkbox"/> NREGA Card	<input type="text"/>
<input type="checkbox"/> Passport Number	<input type="text"/>	<input type="checkbox"/> NPR	<input type="text"/>
<input type="checkbox"/> Voter ID	<input type="text"/>	<input type="checkbox"/> Others	<input type="text"/>
<input type="checkbox"/> Driving License	<input type="text"/>		

3. Contact Details (in CAPITAL Letters)

Separate Mobile number & Email ID declaration: I hereby declare that below

Mobile Number belongs to Self Spouse Dependent Parent Dependent Children

Mobile Number: Telephone Number (Office/Residence):

Email ID belongs to Self Spouse Dependent Parent Dependent Children

Email ID:

4. Applicant Declaration

I/We hereby declare that the KYC details furnished by me 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. I/We hereby consent to receiving information from CVL KRA & from Central KYC Registry through SMS/Email on the above registered Number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/DigiLocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

Name of Account Holder: <input type="text"/>	Signature <input type="text"/>
Place: <input type="text"/> Date: <input type="text"/>	

5. For Office Use Only

In-Person Verification (IPV) carried out by CKYC code (IN2054)

Intermediary Name: **Raise Securities Pvt Ltd (formerly Moneylicious Securities Pvt Ltd)**

AMC / Intermediary Code: **1200006593**

Employee Name:

Employee Signature:

Employee Code:

Employee Designation:

IPV Date:



Self Certified document copies received (OVD) True copies of documents received (attested)

PROOF OF IDENTITY

Client name:

PAN Number:

Signature



DIGILOCKER VERIFIED E-AADHAAR

This document is generated from verified Aadhaar XML obtained from DigiLocker with due user consent and authentication

Document Type:	e-Aadhaar generated from DigiLocker verified Aadhaar XML		
Generation Date:		Generation Date:	
Masked Aadhaar Number:			
Name:			
Date of Birth:			
Gender:			
c/o, s/o:			
Address:			
Landmark:		District:	
City:		Pin code:	
State:			

Signature

SIGNATURE

Client name:

Signature



millions

make it!



ACCOUNT OPENING FORM

Brought to you by Raise Securities Private Limited

INSTRUCTIONS & CHECKLIST FOR FILLING ACCOUNT OPENING FORM & KYC

A. Important Points

1. Self-attested copy of the 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/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with a Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by the Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/Judicial/Military officers, senior executives of state-owned corporations, important political party officials, etc.

B. Proof of Identity (POI)

List of documents admissible as Proof of Identity:

1. PAN card with photograph.
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. UID/Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy/Unique Identification Number (UID) (Aadhaar).
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 Three 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 apostille or consularized) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/Clarifications to PAN

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

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

E. List of People Authorized to Attest the Documents

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

F. Additional Documents in Case of Trading in Derivative Segments -Illustrative list

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

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

G. Bank Account Proof

1. Copy of cancelled cheque leaf/passbook/bank statement specifying name of the constituent, MICR Code or/ and IFSC Code of the bank should be submitted.

H. Demat Master or recent holding statement issued by DP bearing name of the client.

I. For Individuals

1. Stockbroker have an option of doing 'in-person' verification through a web camera at the branch office of the stockbroker /sub-broker's office.
2. 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.

J. For Non-Individuals

Clients also have the option to do their own 'in-person' verification via video captured through mobile or computer or internet connected device with ability of demonstrating that it was live and conducted for the purpose of verification.

1. For non-individuals: Form need to be initialized by all the authorized signatories.
2. 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
3. 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.

INDEX

Mandatory documents as prescribed by SEBI & Exchanges

Sr No.	Name of Document	Brief Significance of the Documents	Page No.	
1	Account Opening Form	<ul style="list-style-type: none"> KYC Form – Document captures the basic information about the constituent and an instruction/ check list. Document captures the additional information about the constituent relevant to Trading /Demat account and an instruction / check list. 	1 - 14	Booklet - 1
2	Tariff Sheet	Document detailing the rate/amount of brokerage & other charges levied on the client for trading on stock exchange(s) & DP Service charges / Fee Structure.	15 - 16	
3	Nomination Form	Collects details of any nomination made for the account	17 - 19	
4	Internet & Wireless Technology	Internet & wireless technology-based trading facility provided by stock-broker to client.	20 - 21	
5	MITC	Declaration of Most Important Terms and Conditions	27	
6	GTT and GTC	Policy on Handling of Good Till Cancelled Orders	29	
7	Rights & Obligations	Rights & Obligations for Stock Lending & Borrowing Mechanism	30 - 34	
8	Acknowledgment	Copy of Acknowledgment	35	
9	Rights & Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on Exchanges / Depository Participant (Including additional rights & obligations in case of internet/wireless technology based trading.	2 - 6	Booklet - 2
10	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	15 - 17	
11	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the investor education.	18	
12	Policies & Procedures	Document describing significant policies and procedures of the stock broker (to be added by the stock broker).	19 - 23	
13	Freeze/Unfreeze Policy	Voluntary freezing & Unfreezing of trading account	26	
14	Investor Charter	Document for stock brokers & Depositories	27 - 33	
Voluntary Documents				
15	Running Account Authorization	Authorization Letter for Running Account	22	Booklet - 1
16	SMS & Email Alerts, Issuance of DIS Booklet	<ul style="list-style-type: none"> SMS And Email Alerts to Investors by Stock Exchange Option form for issue DIS (Delivery Instruction Slip) Booklet 	23	
17	Electronic Contract Notes (ECN)	Letter for Authorization for Electronic Contract Notes (ECN)	24	
18	Declaration / Consent	<ul style="list-style-type: none"> Declaration from client Commodity option consent 	25 - 26	
19	Self declarations	Self declarations for FATCA & FEMA	28	
20	Rights & Obligations - MTF	Rights & Obligations relating to Margin Trading Facility.	7 - 14	Booklet - 2
21	Undertaking/Authorization	With respect to Member-Constituent Relationship and Mandatory & Voluntary (optional) documents executed	24 - 25	

MEMBERSHIP DETAILS

Name of Trading Member	Raise Securities Private Limited (formerly Moneylicious Securities Pvt Ltd) Hereinafter referred to as Millions
SEBI Registration Number	Stock-Broker (INZ000006031) effective 06.04.2015 Depository Participant (IN-DP-289-2016) effective 19.09.2016
Exchanges and Segments	NSE Trading Member Code: 90133 & Clearing Code: M52027 - Cash, F&O, Currency, Commodities, Debt
	BSE Trading Member Code: 6593 - Cash, F&O, Currency, Commodities, Debt
	MCX Trading Member Code: 56320 & Clearing Code: 7085 - Commodities
	CDSL Membership: IN-DP-289-2016, DP ID - 83400
Registered Office Address	2201, 22nd Floor, Gold Medal Avenue, S.V. Road, Beside Patel Petrol Pump, Piramal Nagar, Goregaon West, Mumbai - 400104.
Correspondence Address	2201, 22nd Floor, Gold Medal Avenue, S.V. Road, Beside Patel Petrol Pump, Piramal Nagar, Goregaon West, Mumbai - 400104. Phone: (91) 9987761000 Fax: (91) (22) 4311 6601
Compliance Officer	Mr. Manish Garg Email Id: complianceofficer@millionshq.com Phone: (91) 8655740961
CEO / Director Details	Mr. Pravin Jadhav & Mr. Jay Prakash Gupta Email Id: founders@millionshq.com Phone: (91) 8976718243
Customer Service	Mr. Jay Khatnani, Head - Customer Service Email: headcustomerservice@millionshq.com Phone: (91) 9987763000
CIN	U74999MH2012PTC433549
Website	www.millionshq.com
For any grievance, please email Millions on grievance@millionshq.com or call us on (91) 9987763000	

If you are not satisfied with the response, please contact the concerned exchange at:

NSE	ignse@nse.co.in or contact at 1800-266-0058
BSE	is@bseindia.com or contact at +91-22-2272-1234/33, Fax No. +91-22-2272-3677
MCX	grievance@mcxindia.com or contact at 022 - 6731 8888
CDSL	complaints@cdslindia.com or contact at 1800-22-5533
You can also lodge your grievances with SEBI at https://scores.sebi.gov.in . For any queries, feedback or assistance, please contact SEBI office or toll-free Helpline at 1800-22-7575 / 1800-266-7575	

Disclosure in Terms of SEBI Circular No.: SEBI/MRD/SE/CIR-42/2003 Dated November 19, 2003

Raise Securities Private Limited (formerly Moneylicious Securities Pvt Ltd) does not engage in proprietary trades on BSE/NSE/MCX exchanges, encompassing in cash, derivatives, currency, commodity & SLBM segments.

TRADING AND DEMAT ACCOUNT RELATED DETAILS

A. Bank / Dividend Bank Account Details (Default)

Bank Name:

Bank Branch Address:

Bank Account No. Account Type: Savings Current

MICR Code: IFSC Code:

B. Depository Details (Default)

Depository Name:

Depository Type: CDSL NSDL DP ID:

Beneficiary Owner Name:

Beneficiary ID (BO ID):

C. Other Details

Annual Income OR Net worth: Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac 25 L – 1 Cr Above 1 Cr
(Net worth should not be older than 1 year) Rs. _____ as on date

Occupation: Private Sector Public sector Professional Business Government Service
 Agriculturist Housewife Student Retired Others _____

Please Tick: Politically Exposed Person Related to a Politically Exposed Person NA

Whether you wish to receive Contract Note: Physical Contract Note Electronic Contract Note (ECN)
If ECN Specify your Email ID:

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

Number of years of Investment/Trading Experience: NIL 1-5 Years > 5 Years

D. In what capacity do you trade in commodities

Value Chain Participant Others

In case you are trading in the capacity as a Farmer/FPO, Domestic Financial Institutional investor or foreign participant then please send us the intimation on help@millionshq.com

E. 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 during the last 3 years: _____

F. Address in the jurisdiction details where applicant is resident outside India for tax purpose

Address:

City / Town / Village: District: Pincode:

State/UT: Country / ISO Code:

G. Dealings Through Sub-brokers and Other Stock Brokers

1. If Client is dealing through the Sub-broker, provide the following details:

Sub-broker's Name: SEBI Registration Number:

Registered Office Address:

Phone: Fax: Website:

2. Whether dealing with any other Stock Broker/Sub-broker (If applicable, kindly provide following details):

Name of Stock Broker: Name of Sub-broker, if any:

Client Code: Exchange's:

Details of disputes/dues pending from/to such stock broker/sub-broker _____

H. Introducer Details (Optional)

Full Name of the Introducer:

Status of the Introducer:

Type of the Introducer: Sub-broker Existing client Authorized Person Other _____

Address & Mobile Number:

Signature of the Introducer

I. Trading Preference

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

Exchanges	NSE, BSE						NSE, BSE & MCX
	Cash	Mutual Fund	F&O	Currency	Debt	SLBM	Commodity
All Segments							

If you do not wish to trade in any of segments / Mutual Fund, please write to us at help@millionshq.com

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.
- 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.
- 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.
- 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 of 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/ our account liable for termination and suitable action.

Name of Account Holder:

Place: Date:

Signature

ADDITIONAL DETAILS FOR OPENING A DEMAT ACCOUNT – FOR INDIVIDUALS

Application No:	<input type="text"/>	DP Internal Reference No:	<input type="text"/>
DP ID:	<input type="text"/>	Client ID:	<input type="text"/>
UCC Code:	<input type="text"/>	Date:	<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:-

Holder's Details

Exchange Name & ID:	<input type="text" value="NSE - 90133 , BSE - 6593 and MCX - 56320"/>	1st PAN:	<input type="text"/>
Sole/First Holder Name:	<input type="text"/>	1st UID:	<input type="text"/>
Second Holder Name:	<input type="text"/>	2nd PAN:	<input type="text"/>
		2nd UID:	<input type="text"/>
Third Holder Name:	<input type="text"/>	3rd PAN:	<input type="text"/>
		3rd UID:	<input type="text"/>

*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 (Please tick whichever is applicable)

Status	Sub-status	
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter	<input type="checkbox"/> Individual Director <input type="checkbox"/> Individual HUF/AOP <input type="checkbox"/> Minor
<input type="checkbox"/> NRI	<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"/> Foreign National	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National Depository Receipts

Additional Details

Whether you wish to receive *standard documents in electronic form	<input type="checkbox"/> Yes <input type="checkbox"/> No
Whether you wish to receive the confirmation, account statements and any other correspondence electronically or physically	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic
Please specify your choice of receiving a copy of KYC form	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic
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	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to receive Statement of Account / Transaction-cum-Holding Statement / Daily Margin Statement and All Other Statement at my registered 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 instruct the DP to receive each and every credit in my/ our account	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic
I/ We wish to receive dividend / interest directly in to my/or 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

SMS Alert Facility	On registered Mobile Number (Mandatory if you are giving Power Of Attorney (POA). Ensure that the mobile number is provided in the KYC application form)	Mobile number +91 <input type="text"/>
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 hereby opt for	<input type="checkbox"/> Regular Demat Account <input type="checkbox"/> BSDA Account	

I/We would like to receive client copy of containing following.

<ul style="list-style-type: none"> • Rights and Obligations of Stock Rights and Obligations of Stock Brokers, Sub-Broker /AP /APs and Clients as prescribed by SEBI and Exchanges • Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories • Risk disclosure Document for Capital, Currency, Stock and Commodity Derivatives Segment • Guidance Note- Do's and Don'ts for Trading on the Exchange (s) for Investors • Policies and Procedures applicable to clients. 	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic
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Transactions Using Secured Texting Facility (TRUST).

I/We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I/We have read and understood the Terms and Conditions prescribed by CDSL for the same	<input type="checkbox"/> Yes <input type="checkbox"/> No	
I/We wish to register the following clearing member IDs under my/our below Conditions Annexure – 2.6 mentioned BO ID registered for TRUST		
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)
NSE / 90133	Raise Securities Private Limited	INZ000006031
BSE / 6593	Raise Securities Private Limited	INZ000006031
MCX / 56320	Raise Securities Private Limited	INZ000006031
	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.	

Name of Account Holder: <input type="text"/>	Signature <input style="width: 100%; height: 100%;" type="text"/>
UCC code: <input type="text"/> DP BO ID: <input type="text"/>	
Place: <input type="text"/> Date: <input type="text"/>	

FOR OFFICE USE ONLY

UCC / Client Code

Documents verified with Originals / Client Interviewed by / In-Person Verification done by

Organization Name: **Raise Securities Pvt Ltd (formerly Moneylicious Securities Pvt Ltd)**

Employee Name: <input type="text"/>	Branch: <input type="text" value="Head Office"/>
Employee Code: <input type="text"/>	Date: <input type="text"/>
Employee Designation: <input type="text"/>	Place: <input type="text"/>

Employee 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.

Stamp & Signature of Authorized Signatory



TARIFF SHEET

Brokerage, Charges, Fees applicable for your Investment, Trading and Demat account with Millions

Charges related to Exchange Transactions & Other Applicable Charges and Fees	
Type of Trade / Transaction	Amount / Fees / Brokerage / Charges (GST extra)
Delivery (Equity / ETF)	
Intraday (Equity / ETF)	
Futures :- Equity / Currency / Commodity	
Options :- Equity / Currency / Commodity	
Square Off by System / Millions	₹20/- per executed order (in addition to brokerage for all segments)
Call & Trade Service	₹50/- per executed order (in addition to brokerage for all segments)
IPO/Bonds (OBPP) Bid or Allotment	Nil
Buyback / OFS / Takeover	₹20/- per executed Order
Mutual Fund Transactions Charges	Nil
DP Charges on Sell Transactions	₹12.50 for every transaction (instruction) in the Scrip / ISIN
SLBM Segment Activation Charges	₹199 (inclusive of GST)
SLBM Brokerage	4.99% of fee received or paid
Note: Above charges do not include taxes. GST at applicable rates shall be applied separately.	

Clients who opt to receive physical contract notes will be charged ₹100 per instance plus courier charges. A brokerage of 0.1% of the contract value will be charged for contracts where the client provides/takes physical delivery to/from exchanges. All physical settled contracts (Futures & Options) will also carry an applicable Exchange charge. Brokerage of ₹20 per executed order is also charged on expired, exercised, and assigned options contracts.

Brokerage will not exceed the rates specified by SEBI and the Exchanges. All Statutory and Regulatory charges, taxes will be levied at actuals. In addition to the brokerage, the following charges will also be levied. These charges do not include taxes.

Additional Charges Applicable on Exchange Transactions	
Other Charges	Description of Charges
Exchange Turnover Charges	Charges levied by exchanges on each transaction
Securities Transaction Charges (STT)	Direct Tax levied under the Securities Transaction Tax (STT) Act
Commodity Transaction Charge (CTT)	Direct Tax levied by the Government for certain commodities
Stamp Duty	Charges levied by State Governments where investor resides
SEBI Turnover Fees	Charges levied by SEBI on each transaction
Clearing Charges	Charges levied by the Clearing Member
GST	Goods and Service Tax (GST) applicable

I agree with the terms and conditions mentioned above. I agree to pay the charges as per ones mentioned above with respect to my account (investment / trading / demat / user) on Millions. I understand that the tariff is subject to change and I shall keep myself updated with the same from the pricing section on Millions website

Name of Account Holder:	<input type="text"/>	Signature	<input type="text"/>	
UCC code:	<input type="text"/>	DP BO ID:		<input type="text"/>
Place:	<input type="text"/>	Date:		<input type="text"/>

ADDITIONAL TARIFF SHEET & STRUCTURE

Type of Trade / Transaction	Amount / Fees / Brokerage / Charges (GST extra)
Investment Account Related Charges & Demat Transaction Charges	
KYC & Account Opening Fees & Annual Platform Fees (AMC)	Zero
Market Trades - Buy (Credit)	Nil
Market Trades - Sell (Debit)	₹12.50 for every transaction (instruction) in the Scrip / ISIN
Dematerialisation / Rematerialisation (Including MF)	₹250 per certificate + Courier charges
Bounced Contract Note (Physical Contract Note dispatch)	₹5 for alternate digital re-attempt. In case of failure, upto ₹500 for physical dispatch.
Courier charges per Demat/Remat	₹300 per courier
Pledge (Creation / Closure/Invocation)	₹15.00 for every transaction (instruction) in the Scrip / ISIN
Margin / MTF / CUSPA (Pledge / Unpledge/ Invocation)	₹15.00 for every transaction (instruction) in the Scrip / ISIN
Margin Repledge	Nil
Off Market Transfer (Debit)	₹12.50 for every transaction (instruction) in the Scrip / ISIN
MF Re-Purchase / Redemption	₹12.50 for every transaction (instruction) in the Scrip / ISIN
Beneficiary addition in Demat account (For Off market transfer)	₹ 25 per Demat account
Inter Settlement Pay-in Charges (From Millions's POOL A/c)	₹12.50 for every transaction (instruction) in the Scrip / ISIN
Payment Related Charges	
Top-Up via UPI & Netbanking / Withdrawal	Nil
Account Freezing / De-Freezing Charges / Modification / DDPI	
Account Freeze	Nil (frozen / dormant as per regulations / guidelines)
Account De-Freeze / Reactivate	₹25/- per request
Online Modification's / Addition	₹25/- per request
DDPI Activation	₹100/- (Inclusive of GST)
Periodic Statements / Ad Hoc Statements / Non-Payment of Dues / Obligations & Other Charges	
By Email (Periodic)	Nil
Physical (Periodic / Ad Hoc Request)	₹500/- per request for 10 pages + ₹50/- every additional page +Courier charges
By Email (Ad Hoc Request)	₹20/- per request
Bounced Cheque Charges	₹500/- per bounced cheque
KRA Upload / Download	₹50/- per request
Rate of Interest applicable on non-payment of dues or obligations related to depository	13% per annum

*Above charges do not include taxes. GST at applicable rates shall be applied separately.

**CDSL charges, if any, are included in the amounts listed above.

***For BSDA electronic statements shall be provided free of cost and Physical statements will be charged ₹25 per statement.

For all purposes, the bill date shall be construed as the demand date and the bills will be considered as the bill cum notice for payment and Millions reserves the right to freeze trading/depository/user account for debit transactions in case of non-payment of charges after two days from the bill date.

I agree to pay the charges as per ones mentioned above with respect to my account (investment / trading / demat / user) on Millions along with the transaction charges as included in this Account Opening Form. I understand that the tariff is subject to change and I shall keep myself updated with the same from the pricing section on Millions website. All charges are non-refundable. Taxes, Statutory and Regulatory charges are as applicable. Express Courier Charges as applicable.

Note: The charges quoted above are for the services listed. Apart from these, Millions may also offer additional paid services. Millions will be informing the customers with regards to such services and charges associated with the same will be billed separately by intimating on an upfront basis.

Name of Account Holder:

UCC code: DP BO ID:

Place: Date:

Signature

NOMINATION FORM (as per SEBI format)

Raise Securities Private Limited (formerly Moneylicious Securities Pvt Ltd)
2201, 22nd Floor, Gold Medal Avenue, S.V. Road,
Beside Patel Petrol Pump, Piramal Nagar, Goregaon West, Mumbai - 400104.

FORM FOR NOMINATION (To be filled in by individual applying singly or jointly)

Date (DD/MM/YYYY): UCC/DP ID: Client ID:

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

Nomination Details

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). *

Mandatory Details							Additional Details ****	
	Name of nominee	Share of nominee (%)**	Relationship	Postal Address	Mobile number & E-mail	Identity Number ***	D.o.B. of nominee	Guardian
Nominee 1								
Nominee 2								
Nominee 3								
Nominee 4								
Nominee 5								
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

*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. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required. However, in case of NRI / OCI / PIO, Passport number is acceptable.

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

- Date of Birth (DoB): please provide, only if the nominee is minor.
- Guardian: It is optional 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 or statement of account, provided to me/us by the AMC / DP as follows; (please tick, as appropriate)

Name of nominee(s) Nominations: 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. _____(Optional).

(strike off portions that are not relevant)

3) This nomination shall supersede any prior nomination made by me / us, if any.

4) Signature(s) – As per the mode of holding in demat account(s) / MF folio(s)

Name(s) of holder(s)	Signature(s) of holder / thumb impression	Signature of two witnesses*	Name of witness & address (wherever applicable)*
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 procedure as per 3.10 of this circular.
- 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, at any point of time and not just during opening of account / folio. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the folio(s) / demat account(s) i.e.
 - 'Either or Survivor' Folios / Accounts - any one of the holder can sign
 - 'First holder' Folios / Accounts - only First holder can sign
 - 'Jointly' Folios / Accounts - all 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.
- In case of a joint account / folio, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date.
- The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- 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

No

To,
Raise Securities Private Limited (formerly Moneylicious Securities Pvt Ltd)
 2201, 22nd Floor, Gold Medal Avenue, S.V. Road,
 Beside Patel Petrol Pump, Piramal Nagar, Goregaon West, Mumbai - 400104.

UCC code: Date:

DP BO ID: Client ID:

Name of Account Holder:

Second Holder Namer:

Third Holder Name:

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.

SIGNATURE OF THE ACCOUNT HOLDER(S)

Signature of the 1st Holder *	Signature of the 2nd Holder *	Signature of the 3rd Holder *

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

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT

To,
 Raise Securities Private Limited (formerly Moneylicious Securities Pvt Ltd)
 2201, 22nd Floor, Gold Medal Avenue, S.V. Road,
 Beside Patel Petrol Pump, Piramal Nagar, Goregaon West, Mumbai - 400104.

All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. 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 IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through an order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username / password / account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/ password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case the client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.

9. 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 Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.

10. The Client shall not have any claim against the Exchange or the Stockbroker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker'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/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

Name of Account Holder: <input type="text"/>		Signature <input type="text"/>
UCC code: <input type="text"/>	DP BO ID: <input type="text"/>	
Place: <input type="text"/>	Date: <input type="text"/>	

RUNNING ACCOUNT AUTHORIZATION

To,
Raise Securities Private Limited (formerly Moneylicious Securities Pvt Ltd)
 2201, 22nd Floor, Gold Medal Avenue, S.V. Road,
 Beside Patel Petrol Pump, Piramal Nagar, Goregaon West, Mumbai - 400104.

To optimize the operational efficiency of my/our trading account, I/we request Millions to maintain a running balance in my/our account, as opposed to effecting fund settlements on a settlement-to-settlement basis.

I/We authorise you as under:

1. I/We hereby give my/our consent to maintain a running balance in my/our account and retain credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct /revoke you otherwise.
2. I/We request you to settle my/our fund account

Once In a Calendar Month Once in a Calendar Quarter

3. Further I/We understand that settlement is for all funds except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
4. The settlement of running account shall be done by you in accordance with the circulars/guidelines issued by SEBI/Exchanges from time to time and as per the Risk Management Policy of Millions available on its website.
5. I/We hereby confirm that I/We shall promptly notify you of any disputes arising from the statement of accounts or settlement so made in writing, preferably within 7 working days from the date of receipt of funds or the statement of account, or any related statement, as applicable.
6. Further, I/We authorise you to deposit/re-pledge any or all the securities kept as collateral by me / us with the Exchanges and/or their Clearing Corporation/House/Member towards margin, as permitted from time to time.
7. I/We can request for the release of pay-out any time after adjusting all dues towards Millions.
8. I/We hereby confirm that I/We have the right to revoke the aforementioned authority at any time. This authorization for the running account shall remain in effect until such time as it is duly revoked by me / us.

<p>Name of Account Holder: <input style="width: 90%;" type="text"/></p> <p>UCC code: <input style="width: 60%;" type="text"/> DP BO ID: <input style="width: 60%;" type="text"/></p> <p>Place: <input style="width: 60%;" type="text"/> Date: <input style="width: 60%;" type="text"/></p>	<p>Signature</p> <div style="border: 1px solid #ccc; height: 80px; width: 100%; margin-top: 10px;"></div>
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OPTION FORM FOR ISSUE DIS (DELIVERY INSTRUCTION SLIP) BOOKLET

To,
 Raise Securities Private Limited (formerly Moneylicious Securities Pvt Ltd)
 2201, 22nd Floor, Gold Medal Avenue, S.V. Road,
 Beside Patel Petrol Pump, Piramal Nagar, Goregaon West, Mumbai - 400104

Dear Sir,
 I/We hereby state that: (Select one of the options given below)

Option 1: I/We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my CDSL account though for executing delivery instructions for settling stock exchange trades settlement related transactions) effected through such Clearing Member.

OR

Option 2: I/We do not require the Delivery Instruction Slip (DIS) for the time being, However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my request at any later date.

Name of Account Holder: <input type="text"/>		Signature
UCC code: <input type="text"/>	DP BO ID: <input type="text"/>	
Place: <input type="text"/>	Date: <input type="text"/>	

SMS AND EMAIL ALERTS TO INVESTORS BY STOCK EXCHANGES

To,
 Raise Securities Private Limited (formerly Moneylicious Securities Pvt Ltd)
 2201, 22nd Floor, Gold Medal Avenue, S.V. Road,
 Beside Patel Petrol Pump, Piramal Nagar, Goregaon West, Mumbai - 400104

I/We request you to enroll me for SMS and Email facility, offered by the Exchanges, pursuant to the mentioned SEBI Circular. (CIR/MIRSD/15/2011, dated 02.08.2011)

I hereby declare that following are my mobile number and email address. Further, I authorize Millions that the same may be used for giving me any information / alerts / SMS via my mobile and/or email address.

Mobile: Email ID:

I further declare that the above-mentioned information is provided by me and is true and correct.

Name of Account Holder: <input type="text"/>		Signature
UCC code: <input type="text"/>	DP BO ID: <input type="text"/>	
Place: <input type="text"/>	Date: <input type="text"/>	

LETTER FOR AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES (ECN)

To,
 Raise Securities Private Limited (formerly Moneylicious Securities Pvt Ltd)
 2201, 22nd Floor, Gold Medal Avenue, S.V. Road,
 Beside Patel Petrol Pump, Piramal Nagar, Goregaon West, Mumbai - 400104

I/we have been/shall be dealing through you as my broker on the Capital Market and/or Futures & Options and/or Currency Derivatives and/or Commodity Market and/or Interest Rate Futures Segments. As my broker i.e. agent I direct and authorize you to carry out trading/dealings on my behalf as per instructions given below.

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

Email ID:

I/we also agree that non-receipt of bounced mail notification by you shall amount to delivery at my email account / email id.

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

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

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

I/we understand that you shall send physical copy of the contract note within 24 hours if you received a bounced email.

Name of Account Holder:

UCC code:

DP BO ID:

Place:

Date:

Signature

COMMODITY OPTIONS CONSENT

To,
 Raise Securities Private Limited (formerly Moneylicious Securities Pvt Ltd)
 Unit No. 2201, 22nd Floor, Gold Medal Avenue, S.V. Road, Beside Patel Petrol Pump,
 Piramal Nagar, Goregaon West, Mumbai – 400104

I/We am/are interested in availing the facility of trading in Options on Commodity Derivatives offered by Raise Securities Private Limited, and dealing in Commodity Futures through a Trading account. I/We do hereby undertake that I/we am/are competent in all respects to participate to trade in Options on Commodity Derivatives as may be permitted by Raise Securities Private Limited / SEBI from time to time. I/We hereby confirm having read and clearly understood the contents of the “Additional Risk Disclosure documents for Options Trading”. 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. I/We hereby also agree and confirm that Raise Securities Private Limited, may demand additional exposure margin for any particular option position or from a particular client as per its own discretion. I/We hereby also agree and confirm that Raise Securities Private Limited, may liquidate any of my open option position in case of margin shortfall including shortfall arise on account of devolvement margin requirement on devolvement of option positions into futures. This undertaking is in addition to the undertaking given by me / us earlier to Raise Securities Private Limited. I/We request Raise Securities Private Limited, to provide all necessary facilities to enable me/us for trading in Options on Commodity.

Name of Account Holder: <input type="text"/>		Signature <input style="width: 100%; height: 80px;" type="text"/>
UCC code: <input type="text"/>	DP BO ID: <input type="text"/>	
Place: <input type="text"/>	Date: <input type="text"/>	

DECLARATION

To,
 Raise Securities Private Limited (formerly Moneylicious Securities Pvt Ltd)
 Unit No. 2201, 22nd Floor, Gold Medal Avenue, S.V. Road, Beside Patel Petrol Pump,
 Piramal Nagar, Goregaon West, Mumbai – 400104

I/We undersigned hereby declare that I/We have not been involved in any unlawful activities and I have not been declared a defaulter or my name is not appearing in the defaulter database as per SEBI/ Various Exchange/ Regulatory bodies, etc.

PAN: Client Name:

I further declare that the above-mentioned information is provided by me is true and correct.

Name of Account Holder: <input type="text"/>		Signature <input style="width: 100%; height: 80px;" type="text"/>
UCC code: <input type="text"/>	DP BO ID: <input type="text"/>	
Place: <input type="text"/>	Date: <input type="text"/>	

MOST IMPORTANT TERMS AND CONDITIONS (MITC)

(For non-custodial settled trading accounts)

To,
 Raise Securities Private Limited (formerly Moneylicious Securities Pvt Ltd)
 2201, 22nd Floor, Gold Medal Avenue, S.V. Road,
 Beside Patel Petrol Pump, Piramal Nagar, Goregaon West, Mumbai - 400104

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 fund transfer to a 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 pay-out (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, networth, 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.

<p>Name of Account Holder: <input style="width: 80%;" type="text"/></p> <p>UCC code: <input style="width: 50%;" type="text"/> DP BO ID: <input style="width: 50%;" type="text"/></p> <p>Place: <input style="width: 50%;" type="text"/> Date: <input style="width: 50%;" type="text"/></p>	<p>Signature</p> <div style="border: 1px solid #ccc; height: 150px; width: 100%;"></div>
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SELF- CERTIFICATION FOR INDIVIDUAL FATCA/CRS DECLARATION FORM

SEBI has issued a circular dated August 26, 2015 advising all registered intermediaries to implement FATCA and CRS as per the circular. Please seek appropriate advice from your tax professional on your tax residency and related FATCA & CRS guidance.

FATCA Related Information

Are you a US Person?

Yes No

Is your Tax Residency other than India?

Yes No

If any of the above is yes, please indicate all the countries in which you are a resident for tax purpose and the associated Tax ID Number below:

Country of Tax Residency*

Tax Identification Number**

Identification Type

*To include all countries other than India, where investor is Citizen/Resident/Green Card Holder/ Tax Resident in those respective countries.

**Incase Tax Identification Number is not available, kindly provide its functional equivalent.

Declaration & Undertaking

The Customer/account holder certifies that:

- A. 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.
- B. 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.
- C. I/we understand that the Stock Broker is relying on this information for the purpose of determining the status of the applicants named above in compliance with CRS/FATCA. The Stock Broker is not able to offer any tax advice on CRS or FATCA or its impact on the applicants and I/We shall seek advice from professional tax advisor for any tax questions. Further, I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. I/We agree, as may be required by Regulatory authorities, Stock Broker shall be required to comply to report, reportable details to CBDT or close or suspend my/our account.
- D. Under Penalty of perjury, I/We certify that:
 - 1) I/We am/are (i) Taxable as a US person under the laws of the United States of America("U.S") or any state of political subdivision thereof or therein, including the District of Columbia or any other states of U.S., (ii) and state that the income of which is subject to U.S. federal income tax regardless of the source thereof.(This clause is applicable only if the account holder/(s) is/are identified as a US person).
 - 2) I/We am/are an applicant taxable as a tax resident under the laws of country outside India. (This clause is applicable only if the account holder is a tax resident outside of India
- E. I/We hereby confirm that I/we am/are not a US Person or a resident for tax purpose in any country other than India, though my/our Country of Birth suggests my/our relation with US or one or more parameters suggest my/our relation with the country outside India. I/we am/are providing/ already provided copy of my PAN card and now providing a certificate of relinquishment of US citizenship (loss of nationality) OR reasons for not having such a certificate despite relinquishing US citizenship OR for not obtaining US citizenship at birth (only if born in US) Please specify reason:

Date:

Place:

Signature of the applicant

FEMA Declaration

This has reference to my/our application for opening of a Trading & DEMAT account with you.

In this connection, I/we hereby declare that I/we have complied and will continue to comply with FEMA Regulations with respect to buying and selling of securities in the Indian Capital Market.

Thanking you

Signature of the applicant

Policy on Handling of Good Till Cancelled Orders of the Clients

At Millions, there are two order types that qualify as GTC/GTT/GTD orders : Super Orders & Forever Orders. This document outlines the unified terms and conditions governing both order types.

Introduction

Super Orders and Forever Orders enable users to place orders that remain active for an extended duration until predefined trigger conditions are met or the validity period expires. The maximum validity for such orders is up to 365 days from the date of creation, except in the case of intraday orders which expire at the end of the trading day.

Order Placement & Execution

1. Orders placed under both Super Orders and Forever Orders are initially stored and monitored on Millions systems. They are transmitted to the exchange only when the specified trigger conditions are met.
2. Execution of all orders is subject to prevailing market conditions, exchange liquidity availability, and successful risk validation checks including margin, position limits, and other exchange or broker-level controls.

Exchange, Product, Segment & Transaction Types

1. These order types are supported for all product types, exchanges & segments, subject to availability. Buy transactions are allowed across all supported segments and instruments without restriction.
2. Sell transactions are permitted in Futures and Options segments. In the Equity segment, sell orders can only be placed against stocks that are available in the user's portfolio. Users must have enabled DDPI (Demat Debit and Pledge Instruction) to place sell orders in equities under GTT/GTC conditions.
3. Users are responsible for ensuring that sufficient holdings or positions are available before placing sell orders, failing which the order may not be executed. Millions reserves the right to change the policy and stop these services for any product, segment or exchange.

Corporate Actions

In the event of corporate actions such as stock splits, bonus issues, or any other adjustment affecting the price of a security, all active orders for the affected securities will be automatically cancelled by the system. Users will be notified through appropriate communication channels at least two days prior to the ex-date of such corporate actions.

Disclaimer

The triggering and execution of orders are not guaranteed and are subject to various factors including market volatility, price gaps (gap-up or gap-down scenarios), liquidity conditions, circuit limits, and exchange-level restrictions. Orders may be executed at prices different from the trigger or limit price due to rapid market movements at the time of execution. All orders are subject to Millions's Risk Management Policy as well as the respective Exchange Risk Management frameworks. Millions reserves the right to impose additional risk controls beyond exchange requirements to prevent excessive exposure or systemic risks. Orders that fail risk validation checks at any stage may not be executed. Millions shall not be liable for any loss arising due to non-execution of orders. All orders are subject to system availability, exchange conditions, and successful completion of risk validation checks.

By using Super Orders or Forever Orders, users acknowledge and accept all associated market risks and agree to abide by Millions policies and applicable exchange regulations.

RIGHTS AND OBLIGATIONS DOCUMENT FOR SLBS

1. The Securities and Exchange Board of India (“**SEBI**”) has formulated and issued the Securities Lending Scheme, 1997 (“**SEBI Scheme**”) and SEBI Circular No MRD/DoP/SE/Dep/Cir-14/2007 dated 20th December 2007 for facilitating lending and borrowing of securities through an “Approved Intermediary” registered with SEBI.
2. NSE Clearing Ltd. is an Approved Intermediary (“**AI**”) registered under the SEBI Scheme and is, therefore, authorised to facilitate lending and borrowing of securities in accordance with the SEBI Scheme and Circulars of SEBI issued from time to time. Accordingly, the AI has framed the Securities Lending and Borrowing Scheme (hereinafter referred to as “**SLBS**”) for facilitating lending and borrowing of securities through persons registered as “Participants”.
3. SEBI, thereafter, vide its Circular No. CIR/NRD/DP/19/2014 dated June 3, 2014 (“**SEBI Circular**”) has modified the framework of Securities Lending and Borrowing. Under the said SEBI Circular, AI shall enter into an agreement with its Clearing Member/Participant (“**Agreement**”) for the purpose of facilitating Securities Lending and Borrowing and which shall specify the rights, responsibilities and obligations of the AI and the Clearing Member/Participant (“**Participant**”). The said Agreement shall also define the exact role of AI/Participant vis-à-vis the Client of Participant. As per the said SEBI Circular, AI is also required to frame rights and obligations document laying down the rights and obligations of the Participant and its Client for the purpose of Securities Lending and Borrowing. The said rights and obligations document shall be mandatory and binding on the Participant. Accordingly, the AI has framed this rights and obligations document laying down the rights and obligations of Participant as well as of its Client (“**Rights & Obligations Document**”).
4. Securities Lending and Borrowing can be undertaken by the Participant either on their own account or on account of its Client registered with them. Any person(s) who meets the eligibility criteria as may be specified by the AI for the Clients under the SLBS, shall be eligible to participate in the SLBS by submitting duly signed relevant documentation/s to the Participant that it is desirous of participating in the SLBS. The Participant on the receipt of said relevant documentation/s from its Client, shall provide this Rights & Obligations Document to its Client which will be duly acknowledged by the Client of having read, understood and to agreeing to abide by the same prior to the execution of trade in the SLBS. The terms and conditions of this Rights & Obligations Document shall be binding on the Participant as well as on its Client.
5. All the transactions under the SLBS by the Client shall be strictly in accordance with SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and the terms and conditions of the said Agreement. In the event of any conflict or contradiction between the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and the terms and conditions of the said Agreement and this Rights & Obligations Document, the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder, the Rules, Byelaws and Regulations of the AI as a Clearing Corporation and the terms and conditions of the said Agreement shall prevail over this Rights & Obligations Document. The provisions of this Rights & Obligations Document are in addition thereto and not in derogation thereof.
6. The Participant has made the Client aware of and the Client has understood the precise nature of the Participant’s liability towards the Client under SLBS including any limitations on the liability and the capacity in which the Participant acts.
7. Subject to the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder, and/or the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and as in force from time to time, the rights and obligations of the Participant as well as its Client shall be hereto as under.
8. Unless the context otherwise requires, the words and expressions used herein shall have the same meaning as defined in Securities Contracts (Regulation) Act, 1956 or Securities and Exchange Board of India Act, 1992 or Securities Lending Scheme, 1997 or Depositories Act, 1996 or the rules and regulations made thereunder respectively or Circulars of SEBI or SLBS and the Circulars issued thereunder and the Rules, Byelaws and Regulations of the AI as a Clearing Corporation.

RIGHTS OF THE PARTICIPANT

9. In consideration of the Participant providing full-fledged securities lending and borrowing under the SLBS, the Participant shall be entitled for charges, fees, other levies and /or any such other charges, subject to such limits as may be permitted by the AI in its Circulars from time to time.
10. Margins
The Participant is empowered to call upon its Client to pay such margins as may be specified by the AI from time to time.
11. Recovery
The Participant shall be entitled to recover from the Client the loss or charges, fees, other levies and /or any such other charges that has been paid by the Participant to the AI or imposed by the AI on account of its Client arising out of default or transactions under the SLBS whether current or past that are effected by the Client in meeting its obligations by adjusting margins and other deposits, if any, available with the Participant against the Client's liabilities / obligations.

OBLIGATIONS OF THE PARTICIPANT

12. The Participant has satisfied itself about the genuineness and financial soundness of the Client and the objectives relevant to the services to be provided and is therefore, agreeable to facilitating such participation subject to the terms and conditions contained herein.
13. Issue of Confirmation Memo
The Participant shall, upon execution of the Client's transaction on the order matching platform of the AI, issue the confirmation memo in the specified format or such other documents to the Client within such time as may be prescribed by the AI from time to time.
14. Money / Securities to be kept in separate account
The Participant agrees that the money / securities deposited by the Client shall be kept in a separate bank account / settlement demat account, distinct from its own account or accounts of any other Clients, and shall not be used by the Participant for itself or for any other Clients or for any purpose other than the purposes mentioned in the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder and/or the Rules, Byelaws, Regulations of the AI as a Clearing Corporation and as in force from time to time.
15. Update on Settlement Process
The Participant agrees to inform and keep the Client apprised about securities lending and borrowing settlement cycles, delivery/payment schedules and any changes therein from time to time.
16. Compliance with Know Your Client Norms
The Participant undertakes to maintain the "Know Your Client" details of the Client as mentioned in the Client Registration Form or any other information pertaining to the Client in confidence and that it shall not disclose the same to any person / authority except to the AI or as required under any law / regulatory requirements or in compliance with any decree, order or direction of any Court, Tribunal, SEBI or other authority duly empowered in law; Provided however that the Participant may so disclose information about its Client to any person or authority with the express permission of the Client
17. Reconciliation of Account
The Participant and the Client shall agree to reconcile their accounts regularly with reference to the transactions under the SLBS.
18. Return of Securities and Lending Fees
Where the Client is a lender unless otherwise agreed upon between the Participant and the Client -
 - a) The Participant shall ensure the return of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI.
 - b) The Participant shall ensure the return of the lending fees to the Client within such time as maybe prescribed by the AI.
19. Delivery of Securities
Where Client is a borrower unless otherwise agreed upon between the Participant and the Client –
The Participant shall ensure the delivery of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI..

RIGHTS OF THE CLIENT

20. Where the Client is the lender unless otherwise agreed upon between the Participant and the Client -
 - a) The Client shall be entitled to receive the securities lent or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.
 - b) The Client shall be entitled to receive lender's fee for the securities lent.
21. Where the Client is the borrower unless otherwise agreed upon between the Participant and the Client -
 - a) The Client shall be entitled to receive securities borrowed or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.
 - b) The Client shall be entitled to receive from the Participant, the collateral in case the Client has deposited securities approved by the AI as collateral.
22. Notwithstanding any other provisions of the said Agreement and this Rights & Obligations Document, the Client shall be entitled to have all the rights that are conferred on it from time to time under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder.

OBLIGATION OF THE CLIENT

23. **Abide by Law & Acquaintance to Law**
 The Participant declares that it has brought the contents of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time, and the terms and conditions of the said Agreement to the notice of the Client and the Client agrees to comply with and adhere to the same.
24. **Update & Comply with the Settlement Process**
 Notwithstanding anything contained in Clause 15 hereto, the Client shall at all times make its own inquiries and keep itself updated on all settlement cycles, delivery/payment schedules and changes therein, and it shall be the responsibility of the Client to comply with such schedules/procedures of the AI
25. **Processing Charges**
 The Client agrees to pay the Participant, processing charges and statutory levies prevailing from time to time or any other charges for the services provided by the Participant. The Participant agrees that it shall not charge processing charges / fees beyond the maximum limit permissible under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time.
26. **Change in Client Registration Form**
 The Client agrees to immediately notify the Participant in writing whenever there is any change of information in the details provided by the Client to the Participant at the time of its registration with the Participant and also as provided in the said relevant documentation/s required for participating in SLBS.
27. **Authorised Representative**
 The Client agrees to be bound by the instructions issued by its authorised representative, if any, in accordance with the letter authorising the said representative to deal on its behalf.
28. **Return of Securities**
 The Client shall return the equivalent number of securities of the same type and class borrowed by it within the time specified by the AI in the Circulars issued from time to time.
29. **Payment of Margins**
 The Client agrees to pay such margins as may be specified by the Participant in accordance with the requirement of AI or SEBI from time to time.
30. **Exposure / Position Limits**
 The Client agrees to abide by the exposure / position limits, if any, set by the Participant or the AI or SEBI from time to time.
31. **Securities lent to be Unencumbered**
 The Client agrees and warrants that the securities lent are free from lien, charge, pledge or any encumbrance(s) of whatsoever nature.

32. Collateral

At the discretion of the Participant, where the Client deposits the required collateral with the Participant, the same shall be free from any encumbrance(s) of whatsoever nature or defect in the title. If any encumbrance(s) or defect in the title is found subsequently, such collateral shall be immediately replaced by the Client.

33. Insolvency

The Client agrees to immediately furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against it or if any litigation which may have material adverse bearing on its net worth has been filed against it.

34. Cancellation of Transactions

Notwithstanding anything contained in the said Agreement, the AI shall be entitled to cancel transactions under the SLBS, either on an application by a Participant or suo moto or under regulatory directions, and in such event, the transactions done on behalf of the Client shall ipso facto stand cancelled, and neither the AI nor the Participant shall be liable to compensate the Client for any loss whatsoever (including opportunity loss) arising out of such cancellation.

35. Discontinuation of SLBS and Participation in SLBS

The AI shall be entitled to discontinue the SLBS or the participation of the Participant in the SLBS at any time at its discretion. Such discontinuation may be subject to such terms and conditions as may be specified by the AI from time to time.

ARBITRATION

36. The Participant and the Client shall co-operate with each other and / or the AI in redressing their grievances in respect of transactions under the SLBS.

37. All disputes and differences or questions arising out of or in relation to this agreement including obligations, failure or breach thereof by any of the parties and/or of any matter whatsoever arising out of this agreement shall in the first instance be resolved mutually by the parties. If the parties fail to resolve the same mutually, then the same shall be referred to and decided by arbitration in accordance with the procedures as prescribed by the AI under the SLBS and the Circulars issued thereunder.

GOVERNING LAW AND JURISDICTION

38. In relation to any legal action or proceedings to which the AI is a party, the Participant as well as the Client irrevocably submit to the exclusive jurisdiction of the courts of Mumbai, India and waive any objection to such proceedings on grounds of venue or on the grounds that the proceedings have been brought in an inconvenient forum.

39. In relation to any legal action or proceedings to which AI is not a party, the parties irrevocably submit to the jurisdiction of any competent court of law where the Client ordinarily resides at the time of execution of the transactions under the SLBS.

ACKNOWLEDGEMENT

To,
 Raise Securities Private Limited (formerly Moneylicious Securities Pvt Ltd)
 2201, 22nd Floor, Gold Medal Avenue, S.V. Road,
 Beside Patel Petrol Pump, Piramal Nagar, Goregaon West, Mumbai - 400104

Subject : Receipt of Account Opening Form, Voluntary Documents, Rights & Obligation of Trading & Demat, RDD, Policies & Procedures, Guidance Notes, Tariff Sheet.

This is to acknowledge the receipt of the following documents. I / We further state & confirm that I have read and understood all the clauses of following documents.

1. AOF – Account Opening Form (Trading & Demat)
2. Rights & Obligations of Stock Broker
3. Risk Disclosure Document (RDD)
4. Guidance Note - Do's & Don'ts for trading on the Exchange(s) for Investors.
5. Policies & Procedures
6. Self declarations and consent
7. Rights & Obligations – MTF
8. Rights & Obligations – SLBS
9. Investor Charter
10. Policy for Handling Good Till Cancelled Orders
11. Tariff sheet
12. Freeze/Unfreeze Policy
13. Internet & Wireless Technology
14. Most Important Terms and Conditions
15. Running Account Authorization
16. SMS & Email Alerts, Issuance of DIS Booklet
17. Electronic Contract Notes (ECN)

I/We hereby acknowledge that the above documents/ process were made available/ explained to me / us. I hereby acknowledge that I will abide by all the rules and regulatory changes that may come into 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 and I/We undertake that it would be my/our responsibility to check, scrutinize the said forms and documents within 15 days of account opening and intimate discrepancies if any therein to Millions immediately.

Further, you can access the document containing Rights & Obligations, Risk Disclosure Documents, Do's & Don'ts, Member-Constituent Relationship and Mandatory & Voluntary Documents, Policies and Procedures of the stock broker from our website <https://millionshq.co/download-centre/> and Disclosure & Disclaimer, Terms & Conditions, Investor Charter from our website <https://millionshq.co/>

I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of Millions. I hereby acknowledge that I will abide by all the rules and regulatory changes that may come into force from time to time.

Name of Account Holder:

UCC code: DP BO ID:

Place: Date:

Signature