

**iVENTURES<sup>®</sup>**  
**CAPITAL**  
Fueling Your Aspirations



**ACCOUNT OPENING FORM**

**iVENTURES CAPITAL PVT. LTD.**

**Name of Stock Broker / Trading Member / Clearing Member:**

**iVENTURES CAPITAL PVT. LTD.**

EXCHANGE NAME	SEGMENT	SEBI REGISTRATION NO.	DATE
NSE	Cash	INB231356735	03/12/2009
NSE	F&O	INF231356735	03/12/2009
NSE	Currency Derivatives	INE231356735	03/12/2009
BSE	Cash	INB011356731	14/09/2010
BSE	F&O	INF011356731	14/09/2010
MCX-SX	Currency Derivatives	INE261356735	03/12/2009
CDSL	Depository Participant	IN-DP-CDSL-588-2010	08/10-2010

**Registered Office Address:**

17, First Floor, Hemkunt Colony, Greater Kailash, New Delhi-110048

Phone : +91-11-40947000

E-mail : info@iventures.in, Website : www.iventures.in

**Corporate Office Address**

A-18, FIEE Complex, Okhla Phase-II, New Delhi-110020

Phone : +91-11-40947000

E-mail : info@iventures.in, Website : www.iventures.in

**Compliance Officer Details :**

Name : Nitin Jindal

Phone No. : +91-11-40947000, 9818515141

Email id : compliance@iventures.in

**CEO Details**

Name : Nirmal Bansal

Phone No. : +91-11-40947000, 9810377077

Email id : nirmal.bansal@iventures.in

For any grievance/dispute please contact iVENTURES CAPITAL PVT. LTD. at the above address or email id: feedback@iventures.in and Phone No.: +91-11-40947000. In case not satisfied with the response, please contact the concerned exchange(s) at :

Exchange Name	Email ID	Phone No.
NSE	ignse@nse.co.in	+91-22-26598100
BSE	is@bseindia.com	+91-22-22721233/34
MCX-SX	investorcomplaints@mcx-sx.com	+91-22-6731 9000
CDSL	complaints@cdslindia.com	1800-200-5533



## INSTRUCTIONS / CHECK LIST FORM 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/PIO Card/OCIC 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:

1. PAN card with photograph. This is a mandatory requirement for 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.
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/ling 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/snt for all , 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 :

Type of Entity	Documentary Requirements
Corporate	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• 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).</li> <li>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</li> <li>• Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>• Copy of the Board Resolution for investment in securities market.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
Partnership Firm	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered partnership firms only).</li> <li>• Copy of partnership deed.</li> <li>• Authorised signatories list with specimen signatures.</li> <li>• Photograph, POI, POA, PAN of Partners.</li> </ul>
Trust	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered trust only).</li> <li>• Copy of Trust deed.</li> <li>• List of trustees certified by managing trustees/CA.</li> <li>• Photograph, POI, POA, PAN of Trustees.</li> </ul>
HUF	<ul style="list-style-type: none"> <li>• PAN of HUF.</li> <li>• Deed of declaration of HUF/ List of coparceners.</li> <li>• Bank pass-book/bank statement in the name of HUF</li> <li>• Photograph, POI, POA, PAN of Karta.</li> </ul>
Unincorporated Association or a Body of Individuals	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document.</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
Banks/Institutional Investors	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
Army/Government Bodies	<ul style="list-style-type: none"> <li>• Self-certification on letterhead.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
Registered Society	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act.</li> <li>• List of Managing Committee members.</li> <li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>

**ADDITIONAL INFORMATION RELATED TO TRADING ACCOUNT**

**FOR INDIVIDUAL & NON-INDIVIDUAL**

**A. BANK ACCOUNT(S) DETAILS**

<b>Bank Name (1)</b>		<b>Bank Name (2)</b>	
Branch Address		Branch Address	
Bank Acc. No.		Bank Acc. No.	
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others.....	Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others.....
	In case of NRI: <input type="checkbox"/> NRE <input type="checkbox"/> NRO		In case of NRI: <input type="checkbox"/> NRE <input type="checkbox"/> NRO
MICR Code		MICR Code	
IFSC Code		IFSC Code	

**B. DEPOSITORY ACCOUNT(S) DETAILS**

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			

**C. OTHER DETAILS**

Gross Annual Income Details (please specify)	Income Range per annum <input type="checkbox"/> Below ₹1 Lac <input type="checkbox"/> ₹1-5 Lac <input type="checkbox"/> ₹5-10 Lac <input type="checkbox"/> ₹10-25 Lac <input type="checkbox"/> ₹25 Lac -1 Crore <input type="checkbox"/> More than ₹1Crore Net- worth* Amount (₹)..... As on (date) (___/___/20___) (Net worth should not be older than 1 year)
Occupation (please tick any one and give brief details):	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others.....
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)
Any other information	

\* For Individual Client 'Net-worth' is Optional, In case of Non-Individual client 'Net-worth' will be mandatory.

**C. TRADING PREFERENCES**

\* Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Exchange	Segments			
NSE	Cash	Sign. if applicable	**Currency Derivative	Sign. if applicable
	F&O	Sign. if applicable	MFSS	Sign. if applicable
BSE	Cash	Sign. if applicable		
	F&O	Sign. if applicable		
MCX-SX	**Currency Derivative	Sign. if applicable		

# If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker. \*\*Currency derivative segment include interest rate future.

**D. PAST ACTIONS**

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock Exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years, give details (attach annexure if required) .....

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### E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

If client is dealing through the sub-broker, provide the following details:

Sub-broker's Name												
SEBI Registration Number												
Registered office address									PIN Code			
Website				Phone				Fax				
Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)												
Name of stock broker												
Name of Sub-Broker (if any)												
Client Code				Exchange								
Details of disputes/dues pending from/to such stock broker/sub-broker												

### F. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)	<input type="checkbox"/> Physical Contract Note
	<input type="checkbox"/> Electronic Contract Note (ECN)
I/We wish to avail facility provided by the exchange	<input type="checkbox"/> SMS Alert <input type="checkbox"/> E-mail Alert <input type="checkbox"/> Both
In case of ECN / E-mail Alert Pls. Specify your Email id	
In case of SMS Alert Pls. Specify your Mobile No	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Number of years of Investment/Trading Experience	
Any other information	

#### 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 (attach annexure if require)

<b>Name (1)</b>											Please affix the recent passport size photograph of Authorised Signatory and sign across it	
Designation												
PAN				DIN (For Directors) / UID (for Others)								
Residential Address												
	City/Town/Village						Pin Code					
	State				Country							
Relationship with Applicant (i.e. promoters, whole time directors etc.)												
Whether Politically Exposed	<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO											
<b>Name (2)</b>											Please affix the recent passport size photograph of Authorised Signatory and sign across it	
Designation												
PAN				DIN (For Directors) / UID (for Others)								
Residential Address												
	City/Town/Village						Pin Code					
	State				Country							
Relationship with Applicant (i.e. promoters, whole time directors etc.)												
Whether Politically Exposed	<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO											

<b>Name (3)</b>							Please affix the recent passport size photograph of Authorised Signatory and sign across it
Designation							
PAN	DIN (For Directors) / UID (for Others)						
Residential Address							
	City/Town/Village				Pin Code		
State			Country				
Relationship with Applicant (i.e. promoters, whole time directors etc.)							
Whether Politically Exposed							<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO

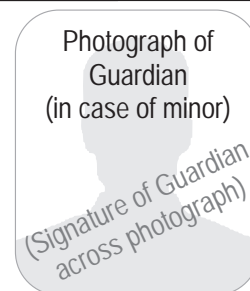
<b>Name (4)</b>							Please affix the recent passport size photograph of Authorised Signatory and sign across it
Designation							
PAN	DIN (For Directors) / UID (for Others)						
Residential Address							
	City/Town/Village				Pin Code		
State			Country				
Relationship with Applicant (i.e. promoters, whole time directors etc.)							
Whether Politically Exposed							<input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO

**G. INTRODUCER DETAILS (optional)**

Name of the Introducer						
Status of the Introducer	<input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others (please specify): .....					
Address of the Introducer						
Phone No. of Introducer					Signature of the Introducer	

**H. NOMINATION DETAILS (for individuals only)**

<input type="checkbox"/> I/We wish to nominate				<input type="checkbox"/> I/We do not wish to nominate			
Name of the Nominee							
Relationship with the Nominee				PAN of Nominee			
Date of Birth of Nominee	DD / MM / YYYY			Phone No. of Nominee			
Address of the Nominee					Signature of Nominee		
If Nominee is a minor, details of guardian							
Name of Guardian							
Address of the Guardian							
				Signature of the Guardian			
Phone No. of Guardian							



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

Name		Name	
Signature		Signature	
Address		Address	




**DISCLOSURE**

Dear Client, This is to inform you that we do client based trading and pro-account trading in National Stock Exchange of India limited (NSE), BSE Ltd. (BSE), & MCX Stock Exchange Limited (MCX-SX)  
For **iVENTURES CAPITAL PVT. LTD.**

Authorized Signatory

**DECLARATION**

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.
4. I/We declare that iVENTURES CAPITAL PVT. LTD. , the brokers, has put me/us on notice that it is engaged in not only client based trading but also in pro-account trading.

Name(s) of the Authorised Signatory	Signature of the Authorised Signatory
1.	
2.	
3.	

Date

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client: .....

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

I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Right 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 'Right and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

**Seal/Stamp of the stock broker**

\*AP: Authorized Person SB: Sub-broker

**Signature of the Authorised Signatory**

Date



**TARIFF SHEET**

**PRODUCT PLAN\* / BROKERAGE**

IVENTURES ..... (\*Scheme details as per executed addendum)

**CASH SEGMENT**

Brokerage	in% (subject to max. of 2.5%)	Minimum Paise (subject to max. 25/- paise)	One Side/Both Side
Delivery Based			
Daily Square up			

Minimum brokerage charge for trading in illiquid/high risk scrips in cash segment will be .50% on delivery and .05% on intraday turnover with minimum 5 paise (Scrip list available under client login).

**DERIVATIVE SEGMENT**

Brokerage	in% (subject to max. 2.5% / ₹100/- Per Lot)	Minimum Paise/ Per Lot	One Side / Both Side
Future			
Option			

**CURRENCY DERIVATIVES & INTEREST RATE FUTURES SEGMENT**

Brokerage	in%	Brokerage per lot (in ₹)	One Side/Both Side
Future			
Option			

Other Charges:	
Nature of Charge	Applicable Charge
a) Monthly/ Quarterly Physical Statements dispatch	₹ 100/- (Per dispatch)
b) Physical Contract Note Charges	₹ 25/- (Per Contract Note)
c) Dormant Account re-activation charges	₹ 250/-
d) Daily Minimum Brokerage	₹ 20/- (Plus Service Tax) per segment
e) NOW software charges (if other than NSE is activated)	₹ 200/- (Plus Service Tax) per segment per month
f) Delayed Payment Charges – On overdue balance towards trading or margin (Standard rate per annum)	19%

In addition to brokerage additional charges including statutory levies i.e. stamp duty, exchange transaction charges, SEBI fees, service tax, STT, other taxes and levies, investor protection fund fees etc. charged by the statutory authorities/ Exchange(s), delayed payment charges, cheque bounce charges, RTGS/NEFT charges, auction settlement charges as may be applicable will be levied. For details please login on our website [www.iventures.in](http://www.iventures.in)

I/We understand that economic condition change over time and therefore agree that IVCPL is authorized to change the tariff in future.



Signature

Date 

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## RUNNING ACCOUNT AUTHORISATION

To,  
**iVENTURES CAPITAL PVT. LTD.**  
 17, First Floor, Hemkunt Colony, Greater Kailash, New Delhi-110048  
 Phone : +91-11-40947000

I/We confirm that I/We am/are desirous of regularly dealing in CM, F&O and CDS segments of the stock exchange(s). I/We request you to maintain the account, both for securities and funds, with you on a running account basis without settling the account on each settlement of each transaction on my/our behalf. This will facilitate me/us in doing my/our transactions through you. I/we also request you to consider the balances in my/our running funds and securities account for the purpose of margins/any other of my/our obligations

due to you. In view of the above, it would be proper for you to retain all amounts payable and all securities receivable be me/us until specifically requested by me/us in writing to be settled or to be dealt with in any other manner. I/We understand and agree that no interest will be payable to me/us on the amounts or securities so retained by you.

I/We agree and empower/authorize you

- a. to act in your discretion of merging balances kept under various accounts held with the you, such as DP Account, CM Trading Account, F&O Trading Account, Currency Trading Account and MFSS etc., to nullify the debit in any of my/our other account held with you without taking any further instructions from me/us;
- b. to merge the securities kept with you in various accounts in order to nullify the debit in any account of my/our account;
- c. to withhold the credit of securities to my/our demat account if any sum is due from me/us;
- d. to withhold the securities to meet my/our liabilities to you under the trading agreement;
- e. to debit my/our trading account towards depository charges payable by me/us to the designated depository participant and make onward payment to the designated depository participant upon receipt of intimation from the designated depository participant;
- f. to block securities against pending order or pledge securities in your favour against any of my/our dues;
- g. to retain an amount of up to Rs. 10,000/- (Net Amount of Rupees Ten Thousand across segment and across exchanges) for taking care of operational and administrative inconvenience.

I/We have the liberty to revoke this authorization at any time in writing with prospective effect.

It is understood that the "Actual settlement of funds and securities" shall be done by you at least once in a calendar quarter. While settling the account you will be sending me/us a 'statement of account', containing an extract from the client ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. The statement shall also explain the retention of funds/securities and the details of the pledge, if any. Such periodic settlement of the running account shall not be necessary when (a) I/We start availing margin trading facility as per SEBI circulars; or (b) The margin provided by me/us to you is in the form of Bank Guarantee (BG)/Fixed Deposit Receipt (FDRs).

On settlement date you may retain the requisite securities/funds towards any outstanding obligation and may also retain funds expected to be required to meet margin obligation (as estimated by you) for the next 5 trading days, calculated in the manner specified by respective Exchanges.

I/We will bring any discrepancy or dispute arising from the Statement of account so issued by you or the settlement made by you to your notice preferably within 7 working days from the date of receipt of funds / securities or statement as the case may be.

My/Our preference for actual settlement of funds and securities is at least:

- Once in a Calendar Quarter       Once in a Calendar Month

Thanking you,

Yours faithfully,



Signature

Name : .....

Date 

D	D	M	M	Y	Y	Y	Y
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**VERBAL ORDER ACCEPTANCE AUTHORISATION**

To,  
**iVENTURES CAPITAL PVT. LTD.**  
17, First Floor, Hemkunt Colony, Greater Kailash, New Delhi-110048  
Phone : +91-11-40947000

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

I/We agree and acknowledge that it is advised by you that I/We should give instructions for order placement/modification and cancellation in writing and to avoid disputes, I/we must give instructions in writing and take signatures of your authorised officers at the branch along with company stamp on the carbon/photocopy of the instructions in acknowledgment of receipt of my our instructions.

However as I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuation in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my/my authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/ We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) by shifting the burden of proof by asking you to prove the placement of orders through telephone recording or otherwise.

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 / our directions given above.

Thanking you.

Yours faithfully,



Signature

Date 

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

Name : .....

[ Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc. ]

**AUTHORISATION FOR ELECTRONIC CONTRACT NOTES (ECN)**

To,  
**iVENTURES CAPITAL PVT. LTD.**  
17, First Floor, Hemkunt Colony, Greater Kailash, New Delhi-110048  
Phone : +91-11-40947000

**SUBJECT: AUTHORISATION FOR ELECTRONIC CONTRACT NOTES (ECN)**

**UCC:** \_\_\_\_\_

I/We have been / shall be dealing through you as my / our Broker on the Capital Market and/ or Futures & Options Segments / Currency Derivatives Segments etc. This instruction is applicable for all the exchanges / segments in which I / we have opened account with you or I/We may open account in future with you. As my / our Broker i.e. agent I / We direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below.

I/ We understand that, I/ we have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/ we hereby opt for receipt of contract notes & other documents in electronic form, I /We 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(s) / email id on your record for sending the contract notes to me / us.

- 1 .....
- 2 .....

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 servers, loss of connectivity, email in transit etc. I/ we agree that the log reports/other communications of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me / us on account of any non-receipt/ delayed receipt for any reason whatsoever.

I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s) / email id(s). In case, in any of the above segments / exchanges due to any reason, whatsoever, if you want to send contract notes in physical form, I / we here by permit you to send the same in physical mode.

I/We understand that I/We am/are required to intimate any change in the email id/ email account mentioned herein above needs to be communicated by me through a duly signed request letter in original to you by registered A.D. at your following address, provided however that if I/we am/are an internet client then in that event the request for change in email id/ email account can be made by me/ us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my / our 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 / our directions given above.

**iVENTURES CAPITAL PVT. LTD.**  
**A-18, FIEE Complex, Okhla Phase-II, New Delhi-110020**  
**Phone : +91-11-40947000**

I/We agree that till the time the change in email address(s) is not updated in your records, the ECN and other documents sent to existing email address (s) with you shall be deemed to be a valid delivery and I/We shall not hold you responsible for any direct or indirect consequences faced by me/us on this account.

I/We have signed/submitted this document on my/our own volition.

Thanking you,  
Yours faithfully,



Signature

Name : .....

Date 

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

**REQUEST LETTER FOR STATEMENTS**

To,  
**iVENTURES CAPITAL PVT. LTD.**  
17, First Floor, Hemkunt Colony, Greater Kailash, New Delhi-110048  
Phone : +91-11-40947000  
Dear Sirs,

Date 

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

**SUB: REQUEST TO PROVIDE THE STATEMENTS THROUGH E-MAIL AND/OR WEBSITE.**

Client id.: \_\_\_\_\_ E-mail id. \_\_\_\_\_

You are hereby requested to provide me/us transaction statement(s)/bills or any other document(s) required to be sent to me under my specific request or as per the statutory requirement(s) through e-mail and/or website.

I/We am/are aware and understand the following: -

1. I/We am/are aware that I/we will not receive the transaction statements/bills etc. in paper form.
2. I/We understand that website(s) would mean www.iventures.in and or any of it's pages/links/applets or any other website that iVentures Capital Pvt. Ltd. may inform from time to time.
3. I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the back office /email account.
4. I/We am/are aware that the transaction statement/bills etc. may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised.
5. I/We shall immediately inform iVentures Capital Pvt. Ltd. about change in email address, if any.
6. I/we agree that till the time the change in email address is not updated in the records of iVentures Capital Pvt. Ltd., the statements/bills etc. sent to the original email address shall deem to be a valid delivery and I/we shall keep iVentures Capital Pvt. Ltd. and/or any of it's employees, directors, agents, associates indemnified against any loss suffered by them and also not hold them responsible for any loss suffered by me/us on this account.
7. I/We shall log off from website/back office/e-mail service, whenever I/we am/are not accessing or using the service. Any liability incurred to the me/ us as a consequence of the not logging off the service shall be borne solely by me/us.
8. I/we agree that iVentures Capital Pvt. Ltd. shall not take cognizance of out-of-office/out-of-station auto replies and I/we am/are deemed to have received above referred documents. Non-receipt of bounced mail notification by iVentures Capital Pvt. Ltd. shall amount to delivery of the above referred documents at the email id provided by me/us.
9. I/we agree that I/we shall immediately notify iVentures Capital Pvt. Ltd. in writing with full details if I/we discover or suspect, unauthorized access through my/our back office password or Notice discrepancies that might be attributable to unauthorized access, Forget back office password or Discover a security flaw.
10. I/we understand that I/we am/are responsible for installing, operating and maintaining the communication equipment (including but not limited to personal computers and modems), software, tools, telephone or alternative service required at the my/our end and connectivity required for using and accessing the website(s), back office, email account(s), any above referred documents or any other related services at my/ourown cost.
11. iVentures Capital Pvt. Ltd. will not ( and shall not be under any obligation to ) assist me/us in operating, installing and / or maintaining any such communication equipment/infrastructure or obtaining any permits, clearances etc for establishing connectivity or linkages to the website(s)ofthe participant.
12. iVentures Capital Pvt. Ltd.'s own records of the transactions/holdings/bills etc. mentioned through computer systems or otherwise shall be accepted as conclusive and binding on me/usforall purposes.
13. I/we understand and agree that the initial password sent by iVentures Capital Pvt. Ltd. of back office should only be used for the first login. I/we agree to immediately reset my/our password(s) upon the first login. I/we understand and agree that If I/we do not change the password(s) after the first login, I/we shall keep the iVentures Capital Pvt. Ltd. and/or any of it's employees, directors, agents, associates indemnified against any loss suffered by them and also not hold them responsible for any loss suffered by me/us on this account.
14. I/we understand and agree that the records of the iVentures Capital Pvt. Ltd. with respect to delivery of above referred documents shall be conclusive evidence of any such documents delivered.
15. iVentures Capital Pvt. Ltd. and I/we shall have the right to terminate such service provided a written notice is given at least 10 days in advance to the other party.
16. I/We shall approach iVentures Capital Pvt. Ltd. within 24 hours from the delivery/display of the above data/documents etc. intimating any inability to access or download of the above data, document, data etc. failing which it shall be deemed to be the due delivery and acceptance of the data, document, data etc. sent to me/us via electronic mail/displayed by iVentures Capital Pvt. Ltd./on the website of iVentures Capital Pvt. Ltd. In all cases, iVentures Capital Pvt. Ltd. reserves the right to determine the validity of my/our objection to the transaction.

Thanking you  
Your truly,



Signature of First Executant



Signature of Second Executant



Signature of Third Executant

\* Please stamp & Sign in case of HUF Account \*\* In case of Joint holding, all joint holders must sign.

**REQUEST FOR TRADE ALERTS THROUGH SMS AND/OR E-MAIL**

To,  
**iVENTURES CAPITAL PVT. LTD.**  
 17, First Floor, Hemkunt Colony, Greater Kailash, New Delhi-110048  
 Phone : +91-11-40947000

Dear Sir,

I/We have been/ shall be dealing through you as my/our broker on the capital market and/or future & option/currency derivative segment(s).

I/we am/are as a registered client of iVENTURES CAPITAL PVT. LTD. (IVCPL) confirm as follows:

1. I/We am/are aware that National Stock Exchange of India Limited (NSE) and Bombay Stock Exchange Limited (BSE) provide the details of trades executed on its trading platform to the concerned clients/constituents through SMS and/or e-mail alerts.
2. I/We hereby confirm that I/we wish to receive the trade alerts through (tick whichever is applicable):
  - a) SMS alerts
  - b) E-Mail alerts
3. The alerts should be sent:
  - I. On my registered mobile number / email id as per your records, or
  - II. You are requested to update the mobile number/email id mentioned below in your records and for the purpose of trade alerts:
    - a) Mobile No. : .....
    - b) E-mail address : .....

I/ We hereby agree to the terms and conditions specified by the SEBI vide circular no. CIR/MIRSD/15/2011 dated August 2, 2011 and NSE & BSE vide circular no. NSE/INVG/19135 dated October 14, 2011 and 20111118-19 dated 18th November 2011 respectively and circulars/ clarifications issued by SEBI/ exchanges from time to time in this regard. I/We am/are aware that the recipient of SMS/Email alerts on the above mobile number and/or email address can be stopped only on my/our written request.



Signature

Date 

D	D	M	M	Y	Y	Y	Y
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Name : .....

**AUTHORITY LETTER TO PLEDGE THE SHARES**

To,  
**iVENTURES CAPITAL PVT. LTD.**  
 17, First Floor, Hemkunt Colony, Greater Kailash, New Delhi-110048  
 Phone : +91-11-40947000

Dear Sir,

I/We have been/ shall be dealing through iVENTURES CAPITAL PVT. LTD. (IVCPL) as my/our broker on the capital market and/or future & option/currency derivative segment(s).

I/we hereby authorize IVCPL to pledge my/our securities lying with it as margin/ collateral with third parties such as Banks to meet the settlement/ margin obligation on my/our behalf as required from time to time.

I/we would further like to mention that IVCPL shall be entitled to invoke pledge at its absolute discretion at any point of time without giving any prior intimation to me/us to meet settlement obligation for my/our trading activities undertaken through IVCPL.

I/we understand that securities provided me/us in this regard should be my/our absolute property and are unencumbered.



Signature

Date 

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

Name : .....

**ADDENDUM TO THE CLIENT REGISTRATION FORM / KEY INFORMATION**

In compliance with the provisions of Prevention of Money Laundering Act, 2002 and subsequent circulars issued by SEBI thereto, we hereby obliged to consider it as a part of client registration document: -

**PREVENTION OF MONEY LAUNDERING**

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436(E) dated July 1,2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD/CIR/RR/AML/1/06 dated January 18,2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number ISD/CIR/RR/AML/2/06 dated March 23,2006 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Sec12of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

The constituents should ensure that the amount invested in the securities is through legitimate sources only and does not involve and is not designated for the purpose of contravention or evasion of the provision of the Income Tax Act, Prevention of Money Laundering Act, Prevention of corruption Act and/or any other law for the time being in force enacted by Govt. of India from time to time or any rules and regulations, notifications or directions issued there under.

To ensure appropriate identification of the constituents under its KYC policy and with view to monitor the transactions for the prevention of anti money laundering, the company has reserve the right to seek information, record constituents telephonic calls and/or obtained or retained documentation for establishing the identity of the constituents, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

The constituents or their attorney, if any, shall produce independent source documents, such as photographs, certified copies of ration card/passport/pan card/driving license or such other documents or produce such information as may be required from time to time for verification of the identity, residential address, financial information of the constituents by the company.

If the constituents refuses/fails to produce the required documents and information with in the period specified in the communication sent by company to the constituents, then the company after applying due diligence measures believes that the transaction is suspicious in nature within the purview of the Act and SEBI circulars issued from time to time or on account of deficiencies in the documentation shall have absolute discretion to report suspicious transaction to FIU-IND or to reject the application or to freeze the account of constituent. Thus the KYC documentation shall comply by all the constituents in its true spirit and word.

The Company, its Directors, its Employees and agents shall not be liable in any manner for any claim arising whatsoever on account of freezing of account or on rejection of application etc. due to non-compliance of the provisions of the Act, SEBI circulars and KYC policy and or where company believes that transaction is suspicious in nature within the purview of the Act or SEBI circulars and reporting the same to FIU-IND.

This document form an integral part of the client registration form as addendum or key information memorandum and will be subject to amendments from time to time.

Thanking you.

Yours faithfully,



Signature

Name : .....

Date 

D	D	M	M	Y	Y	Y	Y
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[ Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc. ]

**ACKNOWLEDGEMENT FROM CLIENT (TRADING)**



**iVENTURES CAPITAL PVT. LTD.**

Regd. Office : 17, First Floor, Hemkunt Colony, Greater Kailash,  
New Delhi-110048  
Phone : +91-11-40947000  
E-mail : feedback@iventures.in, Website : www.iventures.in

SEBI Regn No. :  
NSE Cash-INB231356735  
NSE F&O-INF231356735  
NSE CD-INE231356735  
BSE Cash-INB011356731  
BSE F&O-INF011356731  
MCX-SX CD INE261356735

I/We hereby acknowledge the receipt of duly executed copy of Account Opening Form, Rights and Obligations, RDD, Policies & Procedures and also the receipt of copy of the document, Rights and Obligations of the Beneficial Owner and Depository Participant, Schedule of Service Charges and All Other Documents as executed by me/us.

Trading Code \_\_\_\_\_ Client ID : \_\_\_\_\_

**Name & Signature of Client**

	<b>Sole/First Holder / Authorised Signatory</b>	<b>Second Holder / Authorised Signatory</b>	<b>Third Holder / Authorised Signatory</b>
Signature			
Name			

\* Please stamp & Sign in case of HUF Account \*\* In case of Joint holding, all joint holders must sign.

Date: .....

..... (Please Tear Here) .....

**ACKNOWLEDGEMENT TO CLIENT**



**iVENTURES CAPITAL PVT. LTD.**

**(Depository Participant with CDSL)**  
**DP ID : 12067500 | SEBI Regn. : IN-DP-CDSL-588-2010**

Regd. Office : 17, First Floor, Hemkunt Colony, Greater Kailash, New Delhi-110048  
Phone : +91-11-40571206  
E-mail : feedback@iventures.in, Website : www.iventures.in

Application No.:

Date...../...../20.....

We hereby acknowledge the receipt of the Account Opening Application Form :

Name of the Sole/First Holder	
Name of Second Holder	
Name of Third Holder	

Depository Participant Seal and Signature



iVENTURES<sup>®</sup>  
CAPITAL  
Fueling Your Aspirations



**iVENTURES CAPITAL PVT. LTD.**

**Regd. Office:** 17, First Floor, Hemkunt Colony, Greater Kailash, New Delhi-110048

**Phone:** +91-11-40571207, **Fax:** +91-11-41604408

**E-mail:** [feedback@iventures.in](mailto:feedback@iventures.in), **Website:** [www.iventures.in](http://www.iventures.in)