Know Your Client (KYC)

dhan

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)

☐ Aadhaar Card XXXX - XXXX -

☐ Passport Number

☐ Voter ID

☐ Driving License

☐ NREGA Card

☐ NPR

☐ Others

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

Name of Account Holder:

Place: Date:

Signature

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)

☐ Aadhaar Card XXXX - XXXX - ☐ NREGA Card

☐ Passport Number ☐ NPR

☐ Voter ID ☐ Others

☐ Driving License

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: +91 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:

Signature

Place: Date:

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 Code:

Employee Designation:

IPV Date:

Employee Signature:

RAISE SECURITIES PRIVATE LIMITED DP ID 12083400

☐ 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 verifie Aadhaar XML		
Generation Date:		Download 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

RAISE SECURITIES PRIVATE LIMITED
DP ID
12083400

Equity • MTF • F&O • Currency • Commodity • Mutual Funds

Bonds • Rent Stocks • US Stocks



Account Opening Form

Raise Securities Private Limitied

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.

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Mandatory documents as prescribed by SEBI & Exchanges

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1	Account Opening Form	• 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 - 18	
3	Nomination Form	Collects details of any nomination made for the account	19 - 21	
4	Internet & Wireless Technology	Internet & wireless technology-based trading facility provided by stock-broker to client.	22 - 23	
5	MITC	Declaration of Most Important Terms and Conditions	28	
6	GTT and GTC	Policy on Handling of Good Till Cancelled Orders	30	
7	Rights & Obligations	Rights & Obligations for Stock Lending & Borrowing Mechanism	31 - 34	
8	Acknowledgement	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	
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MEMBERSHIP DETAILS

Name of Trading Member	Raise Securities Private Limited (formerly Moneylicious Securities Pvt Ltd) Hereinafter referred to as Dhan	
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, SLBM
	BSE	Trading Member Code: 6593 - Cash, F&O, Currency, Commodities, Debt, SLBM
	MCX	Trading Member Code: 56320 - Commodities
	CDSL	Membership: IN-DP-289-2016, DP ID - 83400
Registered Office Address	Unit No. 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: complianceofficer@dhan.co Phone: (91) 8655740961	
CEO / Director Details	Mr. Pravin Jadhav & Mr. Jay Prakash Gupta Email: founders@dhan.co Phone: (91) 8976718243	
Customer Service	Mr. Jay Khatnani, Head - Customer Service Email: head.customerservice@dhan.co Phone: (91) 9987761000	
CIN	U74999MH2012PTC433549	
Website	www.dhan.co	
For any grievance, please email Dhan on grievance@dhan.co, grievancedp@dhan.co or call us on (91) 9987761000		

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: RAISE SECURITIES PRIVATE LIMITED

Depository Type: ☐ CDSL ☐ NSDL | DP ID: 12083400

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@dhan.co

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 insecurities 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
All Segments	☐ Cash	☐ Mutual Fund	☐ F&O	☐ Currency	☐ Debt	☐ SLBM	☐ Commodity

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

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 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.
5. I/We hereby declare and confirm that I/we am/are aware that one or more Trading/Demat accounts are held by me/us with other Stock Brokers/ Depository Participants using the same PAN, email ID, mobile number and/or bank account details. Such accounts have been opened by me/us for legitimate investment and/or trading purposes. Further, the email and mobile number registered in such accounts belong to me/us. I/We may also use the same details for opening additional Trading/Demat accounts with other Stock Brokers/Depository Participants in the future and I hereby confirm that such accounts will be opened my me/us for legitimate investment and/or trading purposes.

Name of Account Holder:

Place: Date:

Signature

dhan

ADDITIONAL DETAILS FOR OPENING A DEMAT ACCOUNT – FOR INDIVIDUALS

Application No:		DP Internal Reference No:	
DP ID:		Client ID:	
UCC Code:		Date:	

(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:	NSE - 90133 , BSE - 6593 and MCX - 56320	1st PAN:	
Sole/First Holder Name:		1st UID:	
Second Holder Name:		2nd PAN:	
		2nd UID:	
Third Holder Name:		3rd PAN:	
		3rd UID:	

*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	
☐ Individual	☐ Individual Resident ☐ Individual Director's Relative ☐ Individual Promoter	☐ Individual Director ☐ Individual HUF/AOP ☐ Minor
☐ NRI	☐ NRI Repatriable ☐ NRI Repatriable Promoter ☐ NRI – Depository Receipts	☐ NRI Non-Repatriable ☐ NRI Non-Repatriable Promoter
☐ Foreign National	☐ Foreign National	☐ Foreign National Depository Receipts

Additional Details

Whether you wish to receive *standard documents in electronic form	☐ Yes ☐ No
Whether you wish to receive the confirmation, account statements and any other correspondence electronically or physically	☐ Physical ☐ Electronic
Please specify your choice of receiving a copy of KYC form	☐ Physical ☐ 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	☐ Yes ☐ 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	☐ Yes ☐ No
I / We would like to share the email ID with the RTA	☐ Yes ☐ No
I / We instruct the DP to receive each and every credit in my/ our account	☐ Yes ☐ No
I / We would like to receive the Annual Report	☐ Physical ☐ 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]	☐ Yes ☐ 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
Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly	
I/We hereby opt for	☐ Regular Demat Account ☐ BSDA Account	

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

• 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.	☐ Physical ☐ Electronic

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	☐ Yes ☐ 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
easi	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:

UCC code: DP BO ID:

Place: Date:

Signature

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: Branch: Head Office

Employee Code: Date:

Employee Designation: Place:

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

RAISE SECURITIES PRIVATE LIMITED DP ID 12083400

TARIFF SHEET

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

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 / Dhan	₹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	
Mutual Fund Transactions Charges	Nil
DP Charges on Sell/SLBM Debit Transactions	₹12.50 for every transaction (instruction) in the Scrip / ISIN
SLBM Segment Activation Charges	₹0
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 Dhan. I understand that the tariff is subject to change and I shall keep myself updated with the same from the pricing section on Dhan website

Name of Account Holder:

UCC code: DP BO ID:

Place: Date:

Signature

TARIFF SHEET - GOLD VAULT

Particulars	Charges
Brokerage on Transaction	₹20
Exchange Transaction Charges	0.0021%
SEBI Fees	0.0001% of the turnover
Stamp Duty	0.002% of the turnover
Physical Settlement Charges	0.1% of settlement value
Premium Quality Charges	Actuals as per exchange
Packing Charges By MCXCCL	As per Commodity
GST on Gold/Silver Purchase	3%
Secured Vault Charges (per year)	As per Commodity
Pledge Creation/Closure/Invocation (Gold & Silver)	₹45 per txn
Early Pay-In/Pay-In	₹15 per txn
Off Market Transfer (Debit)	₹15 per txn
Off Market Transfer (Credit)	₹15 per receipt
Shipping & Logistics Charges	Variable based on delivery location
Insurance & Handling Charges	Variable based on delivery location
*GST on all charges	18%

Packing and Vault Charges

Commodity	Packing Charges By MCXCCL	Secured Vault Charges (per year)
Gold 1g	₹100	₹50
Gold 8g	₹200	₹100
Gold 10g	₹300	₹100
Gold 100g	Nil	₹2,000
Gold 1Kg	Nil	₹16,500
Silver 100g	₹400	₹2,000
Silver 1Kg	₹400	₹1,000
Silver 5Kg	₹2,000	₹4,500
Silver 30Kg	Nil	₹20,000

Note:
1.Secured Vault Charges are collected upfront for every year and non refundable
2.All charges mentioned above are exclusive of applicable taxes. GST at applicable rates shall be applied on these charges except Stamp Duty.

Physical Settlement Charges (Non Gold Vault)

Particulars	Charges
Brokerage on Transaction	As per KYC tarrif sheet
Exchange Transaction Charges	0.0021%
SEBI Fees	0.0001% of the turnover
Stamp Duty	0.002% of the turnover
Commodity Transaction Tax (CTT) - on Sale Transaction	0.01%
Physical Settlement Charges	As per KYC tarrif sheet
Premium Quality Charges	Actuals as per exchange
Packing Charges By MCXCCL	Actuals as per exchange
GST on Base Metal Purchase / Sale	18%
Pledge Creation/Closure/Invocation (Base Metal)	₹55 per txn
Early Pay-In/Pay-In	₹30 per txn
Off Market Transfer (Debit / Credit)	₹30 per txn
Custody Charges (Base Metal)	₹30 per metric ton per month
GST on all Charges	18%

The above charges are applicable to all the physical settlement of commodity, except the purchases made from Gold Vault by Dhan.

All charges mentioned above are exclusive of applicable taxes. GST at applicable rates shall be applied on these charges except Stamp Duty and CTT.

Disclaimer on Pricing & Charges:
Please note that brokerage charges that are calculated will be within the maximum rate as specified by SEBI and the exchanges. All other statutory and regulatory charges are as per actuals.

In addition to the charges mentioned here, Dhan may offer additional products, offerings and value added services that may be charged separately; any such charges or fees will be invoiced to the clients. Brokerage is also charged on expired, exercised, and assigned options contracts. The above tariff, fees, pricing and charges are subject to change, any change will be initmated to clients 15 days in advance and the same will be also updated on the app and website of Dhan. Clients are advised to check the same from time to time and stay updated.

All above charges mentioned are for retail customers / clients only. Charges for NRIs, Companies, Partnerships, Trusts and HUFs will be different from the ones mentioned. Any services that require physical copies or offline delivery will be charged differently and separately from the ones listed above. Clients are requested to note that Dhan is a full digital and technology solution and offerings provider for its investment products and any physical / offline requests for services may have additional charges and take additional time.

Name of Account Holder:

UCC code: DP BO ID:

Place: Date:

Signature

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 Dhan'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 Dhan 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 Dhan 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 Dhan 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, Dhan may also offer additional paid services. Dhan 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.

Mandatory Details

1. I / We wish to make nomination [as per details given below]

(You can nominate upto 3 persons)

	Details	1st Nominee	2nd Nominee	3rd Nominee
1	Name of the nominee*			
2	Relationship with the Applicant			
3	Date of Birth (to be provided in case the nominee is a minor)			

2. I want the following nomination details to be printed in the account / holdingstatements (tick one of the boxes below):

☐ Name of the Nominee(s)

☐ Whether nomination given: ☐ Yes / ☐ No (not name of the nominee)

3. Optional details of nomination:

	Details	1st Nominee	2nd Nominee	3rd Nominee
a	% Share of nominee** (equal share if % is not specified)			
b	Mobile of nominee*** (Please note that the DP / MF RTA will be able to reach out to your nominee if you provide the contact details)			
c	Email ID of nominee*** (Please note that the DP / MF RTA will be able to reach out to your nominee if you provide the contact details)			
d	Specify Personal identifier document • Aadhaar (last four digit), PAN, Driving Licence, Passport ***)			

**Any odd lot after division shall be transferred to the first nominee mentioned in the form.

*** The aforesaid details shall be optionally provided for the Guardian, in case of nominee is a minor.

4. Signature:

Name(s) of holder(s)	Signature(s) of holder****
Sole / First Holder (Mr./Ms.)	
Second Holder (Mr./Ms.)	
Third Holder (Mr./Ms.)	

****If nomination is submitted::

- **Online:** validate through Digital Signature Certificate or Aadhaar-based e-sign or by using any other e-sign facility recognized under Information Technology Act, 2000 or two factor authentication (2FA) in which one of the factors shall be a One-Time Password (OTP) sent to the registered mobile number and email address.
- **Physical / offline:** wet signature (signature of witness shall not be required).However, if thumb impression (instead of wet signature) is affixed, then the same shall be witnessed by two persons and details of such witnesses (name and address) shall be duly provided in this form.

Note:

- Investors can provide, changes or cancel nominations any number of times.
- The signature of all the joint holders shall be obtained for providing / changing nomination regardless of mode of operations.
- This nomination shall supersede any prior nomination made by the investor(s), if any.
- Investors can change nomination any number of times.
- Investor have the right to receive acknowledgement of the nomination form foreach instance of nomination / subsequent change.

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.

I hereby confirm that I do not wish to appoint any nominee(s) to my demat account/mutual fund folio at this point of time.

I understand that –
(i) the nomination helps to quickly identify the person for transfer of securities and helps in faster and smoother transmission of my securities to my legal heir(s) after my demise.
(ii) in the absence of a nomination, my legal heir(s) may require the submission of certain additional legal or court-issued documents which may delay the process of transmission of securities to my legal heir(s).
(iii) if no claim is made on the account / folio for a prolonged period after mydemise, the holdings may be treated as unclaimed assets and they may be transferred to Investor Education and protection Fund Authority (IEPF) in accordance with the applicable regulatory framework.

I confirm that I have understood the above implications and that my decision to opt out of nomination is voluntary.

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

Name of Account Holder:

UCC code: DP BO ID:

Place: Date:

Signature

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

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

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:

UCC code: DP BO ID:

Place: Date:

Signature

RUNNING ACCOUNT AUTHORIZATION

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

To optimize the operational efficiency of my/our trading account, I/we request Dhan 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

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.

3. 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 Dhan available on its website.
4. 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.
5. 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.
6. I/We can request for the release of pay-out any time after adjusting all dues towards Dhan.
7. 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.

Name of Account Holder:

UCC code: DP BO ID:

Place: Date:

Signature

OPTION FORM FOR ISSUE DIS (DELIVERY INSTRUCTION SLIP) BOOKLET

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

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:

UCC code: DP BO ID:

Place: Date:

Signature

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 Dhan 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:

UCC code: DP BO ID:

Place: Date:

Signature

LETTER FOR AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES (ECN)

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 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:

UCC code: DP BO ID:

Place: Date:

Signature

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:

UCC code: DP BO ID:

Place: Date:

Signature

MOST IMPORTANT TERMS AND CONDITIONS (MITC)

(For non-custodial settled trading accounts)

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

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.

Name of Account Holder:

UCC code: DP BO ID:

Place: Date:

Signature

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 fo 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 aUS 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 Dhan, 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 Dha s 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 availabili , 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 plac 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 s ficient holdings or positions are available before placing sell orders, failing which the order may not be executed. Dhan 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 Dhan's Risk Management Policy as well as the respective Exchange Risk Management frameworks. Dhan 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. Dhan 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 Dhan 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..

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.

ACKNOWLEDGMENT

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

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 Dhan 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://dhan.co/download-centre/ and Disclosure & Disclaimer, Terms & Conditions, Investor Charter from our website https://dhan.co/

I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of Dhan. 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