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Equities | Derivatives | Commodities | Currency | Depository | Mutual Funds | IPO's | e-Broking

# BOOKLET - 1

## CLIENT REGISTRATION FORM

Name \_\_\_\_\_

PAN No. 

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DP a/c no. 

1	2	0	3	3	9	0	0							
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Client code \_\_\_\_\_ Branch \_\_\_\_\_

## **PROGRESSIVE SHARE BROKERS PVT. LTD.**

**Reg. Off.:** 122-124, Laxmi Plaza, Laxmi Industrial Estate,  
New Link Road, Andheri (W), Mumbai - 400 053.

Tel.: 91-22-3063 7500 Fax : 91-22-2630 5357 E-mail: support@progressiveshares.com

## INSTRUCTIONS / CHECK LIST

1. Additional documents in case of trading in derivatives segment - illustrative list :

Copy of ITR Acknowledgement	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.*

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
  - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker / sub-broker's office.
  - b. 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.
5. For non-individuals:
  - a. Form need to be initialized by all the authorized signatories.
  - b. 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.

THIS INFORMATION IS THE SOLE PROPERTY OF THE TRADING MEMBER/BROKERAGE HOUSE AND WOULD NOT BE DISCLOSED TO ANYONE UNLESS REQUIRED BY LAW OR EXCEPT WITH THE EXPRESS PERMISSION OF CLIENTS.

**Progressive Share Brokers (P) Ltd.  
engaged in client based business and  
proprietary trading as well.**

This disclosure is made in pursuance of  
SEBI Circular No. SEBI/MRD/SE/  
Cir-42/2003 dated November 19, 2003

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**DETAILS OF THE TRADING MEMBER :**

Name of Stock Broker / Trading Member / Clearing Member	Progressive Share Brokers Private Limited		
SEBI Registration No. and Date	BSE	Capital Market	INB010856137 Dated : 01/09/2005
		Future & Options	INF010856137 Dated : 14/12/2006
	NSE	Capital Market	INB230856132 Dated : 12/01/1996
		Future & Options	INF230856132 Dated : 26/07/2000
		Currency Derivatives	INE230856132 Dated : 25/08/2008
	MCX-SX	Capital Market	INB260856134 Dated : 19/12/2012
		Future & Options	INF260856134 Dated : 19/12/2012
		Currency Derivatives	INE260856132 Dated : 04/12/2008
	CDSL	Depository Participant	IN-DP-CDSL-237 2004 19/05/2004
	Registered and Corporate Office Address	Address	122-124, Laxmi Plaza, Laxmi Industrial Estate, New Link Road, Andheri (W), Mumbai - 400 053.
Phone		91-22-3063 7500	
Fax		91-22-2630 5357	
Website		www.progressiveshares.com	
Details of Compliance Officer	Name	Mr. Shyam Agrawal	
	Phone No.	91-22-3063 7500	
	Email	compliance@progressiveshares.com	
Details of CEO	Name	Mr. Anil Gaggar	
	Phone No.	91-22-3063 7500	
	Email	compliance@progressiveshares.com	

**Member ID & Clearing No.:**

BSE	967
NSE	08561
MCX - SX	54100

In case of any grievance / dispute please contact **Progressive Share Brokers Private Limited** on above address or call on 91-22-3063 7500 or email at **[grievancecell@progressiveshares.com](mailto:grievancecell@progressiveshares.com)**. In case you are not satisfied with our response, you may contact the concerned Stock Exchange / Depository at the following.

Exchange / DP	Web Address	Contact No.	Web Address
BSE	<a href="http://www.bseindia.com">www.bseindia.com</a>	91-22-2272 8097	<a href="mailto:is@bseindia.com">is@bseindia.com</a>
NSE	<a href="http://www.nseindia.com">www.nseindia.com</a>	1800220058	<a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>
MCX - SX	<a href="http://www.mcx-sx.com">www.mcx-sx.com</a>	91-22-6731 9000	<a href="mailto:investorcomplaints@mcx-sx.com">investorcomplaints@mcx-sx.com</a>
CDSL	<a href="http://www.cdslindia.com">www.cdslindia.com</a>	91-22-2272 3333	<a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a>

You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.

**Know Your Client (KYC)  
Application Form (For Individuals Only)**



**PROGRESSIVE™**  
Your Progress Our Priority...

**First Holder**

**Application No. :**

Please fill in ENGLISH and in BLOCK LETTERS

Equities | Derivatives | Commodities | Currency | Depository | Mutual Funds | IPO's | e-Broking

**A. Identity Details (please see guidelines overleaf)**

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

Name

Father's/Spouse Name

Mother's Name

2. Gender  Male  Female    B. Marital status  Single  Married    C. Date of Birth

3. Nationality  Indian  Other (Please specify) \_\_\_\_\_

4. Status Please tick (✓)  Resident Individual  Non Resident  Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN 



 Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any: \_\_\_\_\_

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

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

**PHOTOGRAPH**

Signature

Please affix the recent passport size photograph and sign across it

**B. Address Details (please see guidelines overleaf)**

1. Address for Residence/Correspondence

City / Town / Village		Pin Code	
State		Country	

2. Contact Details

TEL. (Off.) (ISD) (STD)	TEL. (Res.) (ISD) (STD)
Mobile (ISD) (STD)	Fax (ISD) (STD)
E-Mail Id.	

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

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

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

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

City / Town / Village		Pin Code	
State		Country	

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

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

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

6. Any other information: \_\_\_\_\_

**DECLARATION**

**SIGNATURE OF APPLICANT**

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

Place: \_\_\_\_\_

Date: \_\_\_\_\_



**FOR OFFICE USE ONLY**

IPV Done  on

AMC/Intermediary name OR code \_\_\_\_\_

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary \_\_\_\_\_

Seal/Stamp of the intermediary should contain

Staff Name \_\_\_\_\_

Designation \_\_\_\_\_

Name of the Organization \_\_\_\_\_

Signature \_\_\_\_\_

1

Date \_\_\_\_\_

Seal/Stamp of the intermediary should contain

Staff Name \_\_\_\_\_

Designation \_\_\_\_\_

Name of the Organization \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

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

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale

Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

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

### D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, Mfs, VCFs, 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.

**Know Your Client (KYC)  
Application Form (For Individuals Only)**



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**Second Holder**

**Application No. :**

Please fill in ENGLISH and in BLOCK LETTERS

Equities | Derivatives | Commodities | Currency | Depository | Mutual Funds | IPO's | e-Broking

**A. Identity Details (please see guidelines overleaf)**

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

Name

Father's/Spouse Name

Mother's Name

2. Gender  Male  Female    B. Marital status  Single  Married    C. Date of Birth

3. Nationality  Indian  Other (Please specify) \_\_\_\_\_

4. Status Please tick (✓)  Resident Individual  Non Resident  Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN 



 Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any: \_\_\_\_\_

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

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

**PHOTOGRAPH**

Signature

Please affix the recent passport size photograph and sign across it

**B. Address Details (please see guidelines overleaf)**

1. Address for Residence/Correspondence

City / Town / Village		Pin Code	
State		Country	

2. Contact Details

Tel. (Off.) (ISD) (STD)	Tel. (Res.) (ISD) (STD)
Mobile (ISD) (STD)	Fax (ISD) (STD)
E-Mail Id.	

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

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

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

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

City / Town / Village		Pin Code	
State		Country	

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

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

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

6. Any other information: \_\_\_\_\_

**DECLARATION**

**SIGNATURE OF APPLICANT**

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

Place:

Date:



**FOR OFFICE USE ONLY**

IPV Done  on

AMC/Intermediary name OR code \_\_\_\_\_

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

3

Date

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

**Know Your Client (KYC)  
Application Form (For Individuals Only)**



**PROGRESSIVE**<sup>TM</sup>  
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**Third Holder**

**Application No. :**

Please fill in ENGLISH and in BLOCK LETTERS

Equities | Derivatives | Commodities | Currency | Depository | Mutual Funds | IPO's | e-Broking

**A. Identity Details (please see guidelines overleaf)**

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

Name

Father's/Spouse Name

Mother's Name

2. Gender  Male  Female    B. Marital status  Single  Married    C. Date of Birth

d d / m m / y y y y

3. Nationality  Indian  Other (Please specify)

4. Status Please tick (✓)  Resident Individual  Non Resident  Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any:

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

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

PHOTOGRAPH

Signature

Please affix the recent passport size photograph and sign across it

**B. Address Details (please see guidelines overleaf)**

1. Address for Residence/Correspondence

City / Town / Village Pin Code  
State Country

2. Contact Details

Tel. (Off.) (ISD) (STD) Tel. (Res.) (ISD) (STD)  
Mobile (ISD) (STD) Fax (ISD) (STD)  
E-Mail Id.

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

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

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

d d / m m / y y y y

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

City / Town / Village Pin Code  
State Country

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

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

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

d d / m m / y y y y

6. Any other information:

**DECLARATION**

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

Place:

Date:

**SIGNATURE OF APPLICANT**

Signature

**FOR OFFICE USE ONLY**

IPV Done  on

AMC/Intermediary name OR code

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

4 Date

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date





## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters / Partners / Karta / Trustees and whole time directors and persons authorized to deal in securities on behalf of company / firm / others.
  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 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 mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D)
  2. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
  3. Identity card/ document with applicant's Photo, issued by any of the following : Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.
- C. Proof of Address (POA): - List of documents admissible as Proof of Address: (\*Documents having an expiry date should be valid on the date of submission.)**
1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
  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. Exemption / clarification to PAN**  
**(\*Sufficient documentary evidence in support of such claims to be collected)**
1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
  2. Investors residing in the state of Sikkim.
  3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
  4. SIP of Mutual Funds upto Rs 50,000/- p.a.
  5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRD Aand 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/ Cooperative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
  2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

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

Types of entity	Documentary requirements
<b>Corporate</b>	<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>
<b>Partnership firm</b>	<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>
<b>Trust</b>	<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>
<b>HUF</b>	<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>
<b>Unincorporated association or a body of individuals</b>	<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>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Banks/Institutional Investors</b>	<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>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Army/ Government Bodies</b>	<ul style="list-style-type: none"> <li>• Self-certification on letterhead.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Registered Society</b>	<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>

# Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant \_\_\_\_\_ PAN of the Applicant \_\_\_\_\_

Sr. No.	PAN	Name	DIN (For Directors) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph



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Date [ d ] [ d ] / [ m ] [ m ] / [ y ] [ y ] [ y ] [ y ]

Name & Signature of the Authorised Signatory(ies)



## TRADING ACCOUNT RELATED DETAILS

### TRADING PREFERENCE

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

Exchange	Cash	F & O	Currency	
NSE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please sign here to select all the segments 
BSE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

# if, in future, the client wants to trade on any new segment / new exchange, separ the client by the stock broker.

Whether you wish to avail of the facility of internet trading / wireless technology (Please Specify)  Yes  No

### BROKERAGE DETAILS

Brokerage Scheme

Cash  F&O  Currency

	Cash Segment				Derivative					Currency Derivative				
	Trading		Delivery		Future		Option			Future		Option		
	%	Min.	%	Min.	%	Min.	%	Min.	Mini Per Lot	%	Min.	%	Min.	Mini Per Lot
1st Leg														
2nd Leg														

### ADDITIONAL DETAILS

Contract Note	Whether you wish to receive <input type="checkbox"/> Electronic Contract Note (ECN) _____ Please specify your email id _____ <input type="checkbox"/> Physical Contract Note
Educational Qualification	<input type="checkbox"/> High School <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Professional
Investment/Trading Experience	<input type="checkbox"/> _____ Years in Stocks <input type="checkbox"/> _____ Years in Derivatives <input type="checkbox"/> _____ No Prior Experience
Primary purpose of dealing	In Equities: <input type="checkbox"/> Intraday <input type="checkbox"/> Positional <input type="checkbox"/> Investment In Derivatives: <input type="checkbox"/> Trading <input type="checkbox"/> Hedging
Stock Portfolio	<input type="checkbox"/> NIL <input type="checkbox"/> <5 Lacs <input type="checkbox"/> 5-20 Lacs <input type="checkbox"/> 20-50 Lacs <input type="checkbox"/> >50 Lacs
Any other information	<div style="border: 1px solid black; height: 20px;"></div>

### PAST ACTIONS

Details of any action/proceedings initiated/pending/taken by SEBI/Stock exchange/any other authority/regulatory against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years, whether in terms of criminal or civil proceedings by any enforcement agency worldwide.

### DEALING THROUGH OTHER STOCK BROKERS

If you are dealing with any other stock broker/ Sub broker / Authorised Person, provide the following details:  
(in case dealing with multiple stock broker/ Sub broker / Authorised Person, provide details of all)

Name of Stock broker _____	Client Code _____
Name of Sub broker/ _____	Exchange _____
Authorised Person _____	Details of disputes/dues pending from/to such stock broker / Sub broker / Authorised Person _____

## COMMON DETAILS FOR TRADING AND DEMAT

### OTHER DETAILS

<b>Gross Annual Income details</b>	<b>Income range per annum</b> <input type="checkbox"/> Up to Rs. 1,00,000/- <input type="checkbox"/> Rs. 1,00,000/- to Rs. 5,00,000/- <input type="checkbox"/> Rs. 5,00,000/- to Rs. 10,00,000/- <input type="checkbox"/> Rs. 10,00,000/- to Rs. 25,00,000/- <input type="checkbox"/> Rs. 25,00,000 to Rs. 1,00,00,000/- <input type="checkbox"/> More than Rs.1,00,00,000/-
Net worth as on Date: _____ Rs. _____ (Net worth should not be older than 1 year)	
<b>Occupation</b>	<input type="checkbox"/> Private / 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 (Specify) _____
<b>Please tick, if applicable</b>	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Not Applicable
<b>Any other information</b>	

### ADDITIONAL INFORMATION RELATED TO TRADING ACCOUNT

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

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

#### 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			

(You may attach separate sheet for DP details, Please tick default ID for BSE / NSE transactions)

Status									
<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Banks	<input type="checkbox"/> Trust	<input type="checkbox"/> Mutual Funds	<input type="checkbox"/> OCB	<input type="checkbox"/> FIT				
<input type="checkbox"/> CM	<input type="checkbox"/> FI	<input type="checkbox"/> Cleaning House	<input type="checkbox"/> Other (Specify) _____						
Corporate Sub-Status	<input type="checkbox"/> Domestic <input type="checkbox"/> Foreign Body <input type="checkbox"/> Group Company <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Others _____								
Place of Incorporation		Date of Incorporation							
		Date of Commencement of Business							
SEBI Registration No.		SEBI Registration Date							
ROC Registration No.		ROC Registration Date							
RBI Registration No.		RBI Registration Date							
CIN No.									
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other (Specify) _____								

## DEALING THROUGH REGISTERED SUB BROKER / AUTHORISED PERSON

If you are dealing through Progressive Share Brokers / Authorised Person, provide the following details :



Name			BSE SEBI Regn. No.	
Regd. Off. Address			NSE SEBI Regn. No.	
			MCX-SX SEBI Regn. No.	
Signature (Sub-broker/AP)		Tel. No		Remisier / AP _____
		Fax No.		Remisier / AP _____
		Website		Remisier / AP _____

## DECLARATION FOR TRADING ACCOUNT

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.

## FOR OFFICE USE ONLY

UCC Code allotted to the Client : \_\_\_\_\_

	Documents verified with Originals	In-Person Verification done by
Name of the Employee		
Designation of the employee		
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 '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.

Date \_\_\_\_\_

Signature of Authorised Signatory

## NOMINATION DETAILS (For Individual Only)

I/We the sole holder/Joint holders/Guardian(in case of minor) hereby declare that:

I/We **do not wish to nominate any one for this trading & demat account**

I/We **nominate** the following person/s for this trading & demat account who is/are entitled to receive fund /security balances lying in my/our account, particulars whereof are give below, in the event of my / our death.

Nomination Details	<u>Nominee 1</u>	<u>Nominee 2</u>	<u>Nominee 3</u>
<b>Nominee Name :</b>			
<b>*First Name:</b>			
<b>Middle Name:</b>			
<b>*Last Name:</b>			
<b>*Address:</b>			
<b>*City:</b>			
<b>*State:</b>			
<b>*Pin:</b>			
<b>*Country:</b>			
Telephone& FaxNo:			
PAN No.:			
UID:			
Email ID:			
<b>*Relationship with the BO:</b>			
Date of birth (mandatory if Nominee is a minor):			
Name of the Guardian of Nominee (if the nominee is minor):			
<b>* First Name:</b>	_____	_____	_____
<b>Middle Name:</b>	_____	_____	_____
<b>* Last Name</b>	_____	_____	_____
<b>*Address of the Guardian of nominee:</b>			
<b>*City:</b>			
<b>*State:</b>			

<b>Nomination Details</b>	<b><u>Nominee 1</u></b>	<b><u>Nominee 2</u></b>	<b><u>Nominee 3</u></b>
*Country			
*Pin:			
Age:			
Telephone & Fax No:			
Email:			
*Relationship of the Guardian with the Nominee:			
*Percentage of allocation of securities:			
*Residual Securities [please tick any one nominee. If tick not marked default will be first nominee]:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Note:** Residual securities: in case of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

**\* Marked is Mandatory field**

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me/us.

**Note:** One witness shall attest signature(s) / thumb impression(s)

<b>Details of the Witness</b>	
<b>First Witness</b>	
Name of Witness	
Address of witness	
Signature of Witness	

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 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 account liable for termination and suitable action.

Nomination accepted and registered vide Registration No.: \_\_\_\_\_ Dated \_\_\_\_\_

	<b>First / Sole Holder or Guardian (in case of Minor)</b>	<b>Second Holder</b>	<b>Third Holder</b>
Name			
Signatures			

**INTRODUCER / REFERENCE DETAILS**

Introducer Name: \_\_\_\_\_

Address : \_\_\_\_\_

Code (if any) : \_\_\_\_\_ Tel. No.: \_\_\_\_\_

Status of Introducer :  Sub-broker  Remisier  Authorised Person  Existing Client  Others \_\_\_\_\_

Signature of the Introducer :  \_\_\_\_\_



**ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT**

**(To be filled by the Depository Participant)**

Application No.

Date

DP Internal Reference No.

DP ID           Client ID

**(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 :-

Sole / First Holder's Name	PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	UID	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Second Holder's Name	PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	UID	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Third Holder's Name	PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	UID	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

\* Name : \_\_\_\_\_

\* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc. although the demat 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) INDIVIDUAL**

Status	Sub-Status
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual Director Relative <input type="checkbox"/> Individual HUF/AOP <input type="checkbox"/> Minor <input type="checkbox"/> Individual Margin Trading A/C (MANTRA) <input type="checkbox"/> Other (specify)_____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI-Depository Receipt <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Other (specify)_____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National-Depository Receipt <input type="checkbox"/> Other (specify)_____

**ONLY FOR NRI CLIENTS**

RBI Ref. No.

RBI Approval Date

Please Note : 1. Please attach copy of permission for dealing in Securities from Authorised Dealer (Bank) / RBI Approval  
2. In case of Marchant Navy NRI's, Mariners declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.

Declaration under Operating Instruction No.2.3.6 issued by the Central Depository Services (India) Limited  
The address mentioned by me in the account opening form contains Post office Box Number (P.O. Box No.). Kindly accept the P.O. Box No. as valid address and additionally I have mentioned my complete residential address in Permanent address and hereby undertake to inform Progressive Share Brokers Pvt. Ltd., for any change.  
Further with reference to my/our demat account maintained with Progressive Share Brokers Pvt. Ltd., I/we hereby confirm that I/we have complied with, and shall continue to comply with, Foreign Exchange Management Act, 1999 and rules and regulations issued there under and other applicable laws.

Client Signature (Only for NRI)	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<b>1st holder</b>	<b>2nd holder</b>	<b>3rd holder</b>

**DETAILS OF GUARDIAN** (in case of Individual only and if account holder is minor)

Guardian's Name	PAN										
Relationship with the applicants											

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	(Automatic Credit) <input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any other further Instructions from my/our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	
I/We wish to receive dividend/interest directly in to my bank account given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No

**OTHER DETAILS**




<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure 2.4</b>	Mobile No.: +91- <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> [Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).										
Transactions Using Secured Texting Facility ( <b>TRUST</b> ). Refer to Terms and Conditions <b>Annexure – 2.6</b>	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST										
	<table border="1"> <thead> <tr> <th>Stock Exchange Name / ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID Optional</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID Optional							
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID Optional									
<b>easi</b>	To register for easi, please visit website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . <i>Easi</i> allows a BO to view his ISIN balance, transactions and value of the portfolio online.										

**CLEARING MEMBER DETAILS (To be filled by CMs only)**

Name of the Stock Exchange			
Name of CC / CH			
Clearing Member ID		Trading Member ID	

**DECLARATION**

I/We further confirm having received, read and understood the contents of the 'Rights and Obligations' document(s) and terms & conditions and agree to abide by and be bound by the same and bye laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and correct to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP 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 account liable for termination and suitable action.

	<b>First / Sole Holder or Guardian (incase of Minor)</b>	<b>Second Holder</b>	<b>Third Holder</b>
Name			
Signature			

**ACKNOWLEDGEMENT RECEIPT**

Application No.

Date :

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

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122-124, Laxmi Plaza, Laxmi Industrial Estate, New Link Road, Andheri (W), Mumbai - 400 053.

Tel.: 91-22-30637500 E-mail-Suport@progressiveshares.com

Tick on Applicable Services Provided	<input type="checkbox"/> NORMAL	<input type="checkbox"/> POA	<input type="checkbox"/> BSDA
Account Opening	Nil	Nil	Nil
Account Maintenance	<input type="checkbox"/> Rs. 250/- Annually <input type="checkbox"/> Rs. 1000/- Non-Refundable one time charges. <input type="checkbox"/> Rs. 2000/- Refundable Deposit Lock in period 1 year.	<input type="checkbox"/> Rs. 250/- Annually <input type="checkbox"/> Rs. 1000/- Non-Refundable one time charges. <input type="checkbox"/> Rs. 2000/- Refundable Deposit Lock in period 1 year.	Holding value < 50000 = 0 Holding value 50000 < 200000 = 100 Holding value > 200000 = 250
Demat Request	Rs. 10/- per certificate plus Rs. 50/- for Postage	Rs. 10/- per certificate plus Rs. 50/- for Postage	Rs.10/- Per Certificate Plus Rs.50/- For Postage
Remat Request	Rs. 15/- per certificate or Rs. 15/- for every 100 securities or 0.03% of securities value, whichever is higher	Rs. 15/- per certificate or Rs. 15/- for every 100 securities or 0.03% of securities value, whichever is higher	Rs. 15/- per certificate or Rs. 15/- for every 100 securities or 0.03% of securities value, whichever is higher
<b>Transfer of Securities</b>			
Credit of Securities in the account (Purchase)	Free	Free	Free
Debit of Securities out side Progressive DP	0.03% subject to Minimum Rs. 15/- per Isin	0.03% subject to Minimum Rs. 15/- per Isin	0.03% subject to Minimum Rs. 50/- per Isin
Debit of Securities for Pay - In within Progressive DP	Same as above	Flat Rs. 10/- per Isin	Flat Rs. 10/- per Isin
<b>Pledge</b>			
Creation	Rs. 25/- per transaction or .03% whichever is higher	Rs. 25/- per transaction or .03% whichever is higher	Rs. 25/- per transaction or .03% whichever is higher
Closure	Rs. 25/- per Instruction or .03% whichever is higher	Rs. 25/- per Instruction or .03% whichever is higher	Rs. 25/- per Instruction or .03% whichever is higher

#### Notes :

- For Corporate Clients CDSL Charges Rs. 500/- p.a. Extra
- Transaction & Holding Statement will be issued on monthly basis. Extra Statement would be charged Extra.
- Service Tax & other levies as 'applicable' would be levied extra.
- Fees schedule are based on existing CDSL charges and may be changed at our discretion. Other than the services mentioned will be charged extra.
- Penalty & Interest Charges : A Penalty of 2% per month will be charge on outstanding on the bill.
- For availing 'Easiest' facility of CDSL the charges as levied by CDSL would be collected from clients at actual.
- I/We hereby authorised Progressive Share Brokers Pvt. Ltd., to debit all the Demat Account related charges to my/our Progressive Share Brokers Pvt. Ltd. Trading Account.



1st Holder Sign



2nd Holder Sign



3rd Holder Sign

#### General Instructions :

1. Blank & Signed Delivery Instruction Slips should not be left with your DP/Broker.
2. All market instructions for transfer must be received latest by 4.00 p.m. on the previous working day prior to pay in day as per SEBI Guidelines. All off Market Instructions for transfer must be received atleast 24 hours before the execution date. Late instructions would be accepted at the account holder's sole risk and responsibility.

**POWER OF ATTORNEY**

POWER OF ATTORNEY IN FAVOUR OF PROGRESSIVE SHARE BROKERS PRIVATE LIMITED

TO ALL TO WHOM THESE PRESENTS SHALL COME I / We \_\_\_\_\_  
\_\_\_\_\_ (name of the BO), India, Indian inhabitant

SEND GREETINGS.

**Whereas** I hold a Beneficiary account No. 12033900 \_\_\_\_\_ (BO-ID) with Central Depository Services (India) Limited, through **Progressive Share Brokers Private Limited** (herein after referred as Progressive-DP) bearing DP ID **33900**.

And Whereas I / We am / are an investor engaged in buying and selling of securities through Progressive Share Brokers Private Limited herein after referred as Progressive-Broker, having its registered office at 122-124, Laxmi Plaza, Laxmi Industrial Estate, New Link Road, Andheri (West), Mumbai-400053, a member of Bombay Stock Exchange Ltd (SEBI Registration number: INB010856137 -Capital Market/ Cash Segment, INF010856137 -Futures and Options Segment , National Stock Exchange of India Ltd. (SEBI registration number :INB230856132 -Capital Market/ Cash Segment, INF230856132 -Futures and Options Segment & INE230856132 - Currency Derivatives Segment) and MCX-Stock Exchange Ltd . (SEBI registration number INB260856134 - Capital Market/Cash Segment, INF260856134 - Futures & Options Segment, INE260856132 - Currency Derivative Segment) under Unique Client Code No. \_\_\_\_\_.

The DP Account Numbers of Progressive - Broker for the purpose of this Power of Attorney are 1203390000000055 - NSE CDSL Pool Account, IN300484 - 12223390 - NSE NSDL Pool Account, 1203390000016312 - BSE CDSL Pool Account, 1203390000016308 - BSE CDSL Principal Account, IN300484-12308688 - BSE NDSL Pool Account, 1100001000014713 - BSE Early Pay-in Account, 1100001100016979 - NSE Early Pay-in Account, 1203390000000061 - NSE F & O CDSL Margin Account, 1203390000073443 - NSE Currency Derivative CDSL Margin Account, IN300484-12692375 - NSE F & O NSDL Margin Account, MCX-SX Pool Accounts & Margin Accounts.

And Whereas due to exigency and paucity of time, I am desirous of appointing an agent / attorney to operate the aforesaid beneficiary account on my behalf for a limited purpose in the manner hereinafter appearing:

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I / WE THE ABOVE NAMED DO HEREBY NOMINATE, CONSTITUTE AND APPOINT Progr essive- Broker as my/our true and lawful attorney (hereinafter referred to as the attorney) for me/us and on my/our behalf and in my/our name to do instruct the aforesaid Depository Participant to debit securities and/ or to transfer securities from the aforesaid account for the purpose of delivering the same to the clearing house of the recognized stock exchanges toward any segment in respect of securities sold by me/us through them, including transfer towards a pre-pay in / early pay-in at the stock exchanges.

Further, the attorney can do instruct the Depository Participant to debit securities and/or to transfer securities from the aforesaid account for the purpose of delivering / pledging the same to Progressive- Broker (Member-NSE, BSE and MCX -SX) towards any margin and exposure obligations that arise/may arise on my/our trade positions in any exchange-segment.

This authority is restricted to the margin and pay-in obligations arising out of the transactions effected by me/us and for me/us through / by Progressive- Broker at NSE / BSE & MCX-SX and I ratify the instructions given by the aforesaid Clearing Member to the Depository Participant named hereinabove in the manner specified herein.





Date : \_\_\_\_\_

To

**Progressive Share Brokers Private Limited**

122-124, Laxmi Plaza,  
Laxmi Industrial Estate,  
New Link Road, Andheri (W),  
Mumbai - 400 053.

**Sub.: Do not wish to opt Basic Service Demat A/c (BSDA)**

Ref.: 

DP ID	1	2	0	3	3	9	0	0									
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Dear Sir / Madam,

I /we are aware of the SEBI guidelines whereas you have to convert all the eligible BO account in to Basic Service Demat Account (BSDA).

I/we hereby request you to not to convert my demat account from Regular BO account to BSDA account, I/we wish to continue avail the facility of a regular demat account.

Kindly do the need full and oblige.

Thanking you,



1st Holder Sign



2nd Holder Sign



3rd Holder Sign

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**DECLARATION**

To

Date : \_\_\_\_\_

**Progressive Share Brokers Private Limited**

122-124, Laxmi Plaza, Laxmi Industrial Estate,  
New Link Road, Andheri (W), Mumbai - 400 053.

Dear Sir,

I/ We hereby state and declare that I have received, read and understood the below mentioned documents to my satisfaction and understood the voluntary clauses mutually agreed between us.

1. I/ We have received and read the document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).
2. I/ We have received and read the Document detailing risks associated with dealing in the securities market in the Risk Disclosure document.
3. I/ We have received and read the Guidance note detailing do's and don'ts for trading on exchanges, for the education of the investors.
4. I/ We have received and read the Document describing significant policies and procedures of the stock broker and also the tariff structure.
5. I/ We have received and the read the Documents describing Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories for the purpose of opening a Demat account.
6. I/ We have received and read the Guidance note detailing do's and don'ts for DP, for the education of the investors.

I have got a clear idea about all brokerage, commissions, fees and other charges levied by the Progressive Share Brokers Private Limited for trading and Depository account as per the relevant provisions/ guidelines specified by the SEBI/Stock Exchanges.

I hereby acknowledge the same.

Signature  : \_\_\_\_\_

## **Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL [SMS Alerts will be sent by CDSL to BOs for all debits]**

(Please refer Terms And Conditions-cum-Registration Form for receiving SMS Alerts from CDSL)

### **Definitions :**

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th floor, P. J. Towers, Dalal Street, Fort, Mamba 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alert" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

### **Availability:**

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the Bos who are residing in India.
3. The alerts will be provided to the Bos only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the prescribed manner any change in mobile number, of loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

### **Receiving Alerts:**

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in "off" mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timelessness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and / or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and /or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall hold the depository liable for any loss, damages, etc. that may be incurred / suffered by the BO on account of option to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.



6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account / unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at . The BO is advised not to inform the service provider about any such unauthorized debit to / transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

**Fees :** Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

**Disclaimer :** The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and / or SMS alert on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse information by any third person.

**Liability and Indemnity :** The Depository shall not be liable for any breach of confidentiality by the service provider or any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

**Amendments :** The depository may amend the terms and conditions at any time with or without giving any prior notice to the BO's. Any such amendments shall be binding on the BOs who are already registered as user of this service.

**Governing laws and Jurisdiction :** Providing the services as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

- I / We wish to avail the SMS Alerts facility provided by the depository on my / our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/We consent to CDSL providing to the service such information pertaining to account / transactions in my / our account as in necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.
- I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I / we further undertake to apply fee / charges as may be levied by the depository from time to time.
- I / we further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If a more than four debits take place, the BOs would be required to take up the matter with their DP.
- I / We am / are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.
- I / We provide the following information for the purpose of REGISTRATION / MODIFICATION ( please cancel out what is not applicable)

\*Mobile no. on which Messages are to be sent

The mobile number is registered in the name of : \_\_\_\_\_

\*E-mail ID : \_\_\_\_\_



1st Holder Sign



2nd Holder Sign



3rd Holder Sign

## **Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL**

### **Definitions :**

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
  - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
  - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
  - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
  - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
  3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
  4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
  5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
  6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
  7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
  8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
  9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP .
  10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
  11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
  12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
  13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

14. The BO expressly authorizes Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. Indemnity:  
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. Disclaimer:  
Depository shall be absolved of any liability in case:-
  - a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
  - b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
  - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

### LETTER FOR AUTHORITY – ALL EXCHANGES

**Voluntary**

To

Date : \_\_\_\_\_

**Progressive Share Brokers Private Limited**  
122-124, Laxmi Plaza, Laxmi Industrial Estate,  
New Link Road, Andheri (W), Mumbai - 400 053.

Dear Sir,

**Sub : Letter of authority for trading and settlement on My / Our behalf.**

Kindly find below a list of authorized person to represent me/us, their authority restricted to following.

- To sell, purchase, subscribe for, effect delivery of, transfer, dispose, endorse, negotiate and / or otherwise deal in all types of securities and instruments including units of mutual funds (hereinafter referred to as 'securities') for all the Exchange(s) and Segment(s).
- To receive advice/instructions for payment of margins, including margin calls.
- To receive communication regarding squaring up of existing open positions, in case of shortfall of margin or otherwise.
- To sign, execute and submit such documents as may be required to effectuate any of the above in accordance and subject to the regulatory requirement from time to time.

	Name of the Person's	Relation, if any
1.	_____	_____
2.	_____	_____
3.	_____	_____

Any instruction given to or received from the Authorized Representative in connection with the said trading account will be treated as an instruction given to or received from me/us except your obligation under SEBI/Exchange guidelines. I/We hereby agree to confirm all transactions, trade and dealings done by the Authorized Representative.

Signature of client :  \_\_\_\_\_

**CONSENT FORM FOR RECEIVING TRADE/TRANSACTION ALERTS  
THROUGH SMS AND / OR E-MAIL**

**Voluntary**

To

Date : \_\_\_\_\_

**Progressive Share Brokers Private Limited.**  
122-124, Laxmi Plaza, Laxmi Industrial Estate,  
New Link Road, Andheri (W), Mumbai - 400 053.

Dear Sirs,

I / We, \_\_\_\_\_ a client with Progressive Share Brokers Private Limited, Member of BSE, NSE, MCX-SX and any other Stock Exchange in future, undertakes as follows:

- 1) I / We are aware that Bombay Stock Exchange Limited (BSE), National Stock Exchange of India Limited (NSE) and MCX Stock Exchange Limited (MCX-SX) provides the details of the trades executed on their trading platforms to the concerned clients / constituents through SMS and E-mail alerts.
- 2) I / We are aware that the Member (Progressive) has to provide the trade details through SMS / E-mail alerts for my/our convenience at my/our request only.
- 3) I / We hereby confirm that I/ we wish to receive the trade alerts through:  
 SMS     E-mail     SMS and E-mail

- 4) I/We hereby confirm and request you that the trade alerts should be sent on

Mobile Number : \_\_\_\_\_

Belongs to  Self  Spouse  Dependant Children  Dependent Parents

E-mail Address : \_\_\_\_\_

Belongs to  Self  Spouse  Dependant Children  Dependent Parents

I / We hereby agree to the terms and conditions specified by the BSE vide Circular No. 20110809-19 dated August 9, 2011, NSE vide Circular No. 686/2011 dated November 18, 2011 and circulars / clarifications issued by the Exchanges from time to time in this regard. I/We am/are also aware that this is an additional facility provided by the Exchanges and I/we shall not solely rely or use such data for any purpose and Exchanges shall not be liable for any direct or indirect loss of any nature because of providing this additional facility to me/us.

Client Signature  : \_\_\_\_\_

**Consent to receive the Contract Note, Trade Confirmations and  
DP Transaction cum holding statement by E-mail**

**Voluntary**

To

**Progressive Share Brokers Private Limited.**

122-124, Laxmi Plaza,  
Laxmi Industrial Estate,  
New Link Road, Andheri (W),  
Mumbai - 400 053.

Sir,

I/We hereby consent to receive the contract note/trade confirmations of the trades executed by me/us and monthly DP transaction cum holding statements, bills & account statements thereof, notices, circulars, amendments and such other correspondence or documents in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 and the Rules made there under, to any of my self created Email Ids mentioned below -

E-mail Id - 1	
E-mail Id - 2	
E-mail Id - 3	

I/We further hereby consent to the following:

1. That the Member/Depository Participant shall fulfill its legal obligation if the aforesaid documents are sent electronically to any one of the said e-mail ids.
2. I/We shall communicate the change in e-mail id, if any, to you through a duly signed physical letter.
3. I/We undertake to check contract notes/ monthly DP holding and transaction statements, bills on regular basis and bring the discrepancies to your notice preferably within 48 hours of the execution of the trade or on receipt of the said statements.
4. Non verification or not accessing the contract notes/ DP holding cum transaction statements on regular basis from my/our part shall not be a reason for disputing the contract note or the DP holding or transaction statements at any time.
5. That Member/ Depository Participant will not be responsible for non receipt of documents sent via electronic delivery due to change in email address as mentioned above or for any other reason beyond the control of TM which inter alia include the malfunction of my/our computer system/server/internet connection etc.
6. That the non-receipt of bounced mail notification by Progressive shall amount to delivery of the documents at my/our E-mail ID.
7. That the Member shall not take cognizance of out-of office/out of station auto replies and I/We shall be deemed to have received such electronic mails.
8. I/We also acknowledge the upload of Contract Note/Bills, Statement of Accounts/Ledgers and other Statements/Documents for trading on NSE and BSE on your website [www.progressiveshares.com](http://www.progressiveshares.com)
9. In case of bounced mail, Contract Note will be sent in physical mode.

Yours faithfully,

Client Signature : 

**1st Holder Sign**



**2nd Holder Sign**



**3rd Holder Sign**

Client Name : \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Authority to Retain Securities and Funds  
(For Maintaining Running Account)**

**Voluntary**

To

Date : \_\_\_\_\_

**Progressive Share Brokers Private Limited.**

122-124, Laxmi Plaza,  
Laxmi Industrial Estate, New Link Road,  
Andheri (W), Mumbai - 400 053.

Sir,


In order to facilitate operations, I/We hereby authorize you to maintain my/our accounts both in securities and funds with you on a running account basis and consider the balance in said accounts for the purpose of margins or any other lawful obligations due to you across any segment of any Stock Exchange and also authorize you to hold my/our credit/securities in anticipation of future debits in my/our account till my/our further instruction to release the same. I/We further authorize you to set off/adjust any of my/our debit/dues in any segment of any Stock Exchange with credit of any other segment of any other Exchange in my/our account.

I am/ We are aware that the said authorization given to you is on one time basis and is valid till the same is revoked by me/us in writing at any point of time.

I/We desire actual settlement of funds and securities at least once in a calander quarter or month (strike out non preference), At the time of settlement you may retain an amount of upto Rs. 10,000/-

I/We, shall bring any dispute arising from the statement of account or settlement to your notice preferably within 7 working days from the date of receipt of funds / securities or statement as the case may be.

Yours faithfully,

Client Signature :  \_\_\_\_\_

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**Request & Authority for Placement of Securities Collateral & Withdrawal**

**Voluntary**

To

Date : \_\_\_\_\_

**Progressive Share Brokers Private Limited.**

122-124, Laxmi Plaza,  
Laxmi Industrial Estate, New Link Road,  
Andheri (W), Mumbai - 400 053.

Dear Sir,


In order to facilitate operations and to abide by the statutory requirements as laid down from time to time, I/we wish to keep transferring the securities to yours designated demat account from time to time as collaterals towards margin deposit for Cash/Derivatives Segments of the Exchanges for which you may please exempt me/us to give you separate individual instructions every time. Such collateral securities so transferred to your designated demat account should be credited to my/ our account and margin benefits be given to me/us accordingly.

I/we also wish to avail exposure against stock lying in my/our DP account maintained with your Depository Participant and authorize you to transfer the securities so lying in my/our demat account(s) to yours designated demat account for the purpose of exposure and/or any margin and/or payin and/or early pay-in and /or pre pay-in obligations that arise/may arise on my/our trade position in any exchange-segment

I/we also request & authorize you to directly deliver such collateral securities to the Stock Exchanges towards my/our pay-in/ early pay-in /pre pay-in margin obligations without any reference to me/us.

I/we further confirm that all the Demat Charges in this regard would be borne by my / us.

Yours faithfully,

Client Signature :  \_\_\_\_\_

**1st Holder Sign**

 \_\_\_\_\_

**2nd Holder Sign**

 \_\_\_\_\_

**3rd Holder Sign**

**Voluntary**

## Declaration by the Karta (in case of HUF)

To

**Progressive Share Brokers Private Limited.**  
122-124, Laxmi Plaza, Laxmi Industrial Estate,  
New Link Road, Andheri (W), Mumbai - 400 053.

Dear Sir,

The undersigned and the Karta of \_\_\_\_\_ (HUF)  
hereby, disclose the following details of our HUF and all its coparceners;

<u>Name</u>	<u>Date of Birth</u> (dd/mm/yyyy)	<u>Relationship</u>	<u>Signature</u>
-------------	--------------------------------------	---------------------	------------------

- 1.
- 2.
- 3.
- 4.

I hereby, state that details mentioned as above are true and any changes therein would be intimated to you immediately in writing.

Thanking you

Your's faithfully,

Signature of the Karta along with Stamp

Name of Karta



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## MUTUAL FUND SERVICE SYSTEM FACILITY

To

**Progressive Share Brokers Private Limited**  
122-124, Laxmi Plaza, Laxmi Industrial Estate,  
New Link Road, Andheri (W), Mumbai - 400 053.

Dear Sir,

### Sub : Mutual Fund Service System (MFSS) facility

I/We \_\_\_\_\_ am/are registered as your client for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. (Exchange).

I/We am/are interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange.

For the purpose of availing the MFSS facility, I/We state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS and I/We further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular No. NSE/MFSS/003/ 2009 dated November 24, 2009 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/We choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the MFSS.

Client Signature:  \_\_\_\_\_

## **DETAILS OF TERMS & CONDITIONS FOR THE INVESTOR / CLIENT FOR USING NEW MFSS FACILITY**

1. Pre-requisites for becoming Investor / Client for the New MFSS facility.
  - 1.1 The client who is desirous of investing in units of mutual fund schemes through the New MFSS.
  - 1.2 The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant of the New MFSS.
  - 1.3 The client has satisfied itself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instruction through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transacting through the Participant.
  - 1.4 The Client has approached to the Participant with the application for availing the New MFSS facility.
  - 1.5 The client has submitted relevant KYC (Know Your Client) details to the Participants.
  
2. Terms and Conditions
  - 2.1 The client shall be bound by circulars issued by NSEIL, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
  - 2.2 The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New MFSS or at any time thereafter.
  - 2.3 The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
  - 2.4 The client has read and understood the risks involved in investing in Mutual Fund Schemes.
  - 2.5 The client shall be wholly responsible for all his investment decisions and instruction.
  - 2.6 The client shall ensure continuous compliance with the requirements of the NSEIL, SEBI and AMFI.
  - 2.7 The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant renders to the Client.
  - 2.8 The client will 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 him or if any litigation which may have material bearing on his capacity has been filed against him.
  - 2.9 In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL or NSCCL.
  - 2.10 In case of any dispute between the Participants and the investors arising out of the MFSS facility, NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.



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122-124, Laxmi Plaza, Laxmi Industrial Estate, New Link Road, Andheri (W), Mumbai - 400 053.  
Tel.: 91-22-30637500 Website: www.progressiveshares.com CIN: U67120MH1994PTC176096

## **FATCA/CRS Self Declaration Form (For Individuals)**

### **Part 1: Individual Identification**

Account number / Customer Id \_\_\_\_\_

Nature of holder (First / Second/ Third) \_\_\_\_\_

Name of the Accountholder \_\_\_\_\_

Place of Birth \_\_\_\_\_ Date Of Birth \_\_\_\_\_ Gender: \_\_\_\_\_ (M/F)

Country of Birth \_\_\_\_\_ Nationality/Citizenship \_\_\_\_\_

**US Person (Yes/No)** \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Correspondence Address (if different from above): \_\_\_\_\_

\_\_\_\_\_

Mobile: \_\_\_\_\_

### **Part II**

Country of tax residence (as per section 6 of the Income-tax Act, 1961)

(a) Only India

(b) India and any other country  \_\_\_\_\_ (kindly specify the countries of tax residence)

(c) Any other country  \_\_\_\_\_ (kindly specify the countries of tax residence)

**If answer to option (b) or (c) is Yes, please provide the following details and documents:**

For the purposes of taxation, I am a resident in the following countries and my Tax Identification Number (TIN)/functional equivalent in each country is set out below or I have indicated that a TIN/functional equivalent is unavailable (kindly fill details of all countries of tax residence if more than one):

Country/countries of tax residency	Tax Identification Number (TIN)	TIN Issuing Country	Documents provided (copy of certificate of residence or copy of TIN)

a. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate (Please also fill Part IV Self-Certification)

Reason: \_\_\_\_\_

**Part III- Customer Declaration & Undertaking**

I/We certify 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 applicant is (i) an applicant taxable as a US person under the laws of the USA or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the US, (ii) an estate the income of which is subject to US federal Income Tax regardless of the source thereof. (Applicable only in case of US person).
- c) The applicant is an applicant taxable as a tax resident under the laws of the Country outside India.(Applicable only if the account holder is a tax resident outside of India.)
- d) I/We permit/authorize Progressive Share Brokers Pvt. Ltd.(PSBPL) to collect, store, communicate and process information relating to the Account and all transactions therein, by them and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.
- e) I / We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and PSBPL would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GOI) /RBI for the purpose or take any other action as may be deemed appropriate by PSBPL if the deficiency is not remedied by us within the stipulated period.
- f) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect and shall indemnify PSBPL for any loss that may arise to the Bank/Authorities on account of providing incorrect or incomplete information.
- g) I/We certify that the information on this form is true to the best of my knowledge and belief and shall indemnify the Company for any loss that may arise on account of providing incorrect or incomplete information.

Signature	
Name	
Date & Place	
PAN Number	

**Part IV- Self-Certification:**

To be filled only if-

- (a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or**
- (b) US person is mentioned as Yes in Part I, and TIN is not available**

<p>I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.</p>	<p>Signature</p>
<p>Document Submitted: (Tick the one provided)</p> <p> <input type="checkbox"/> Passport                 <input type="checkbox"/> PAN Card  <input type="checkbox"/> Driving License                 <input type="checkbox"/> UIDAI Card  <input type="checkbox"/> Election Id Card                 <input type="checkbox"/> Others, specify _____  <input type="checkbox"/> Govt. Issued ID Card             </p>	

**OPTION FORM FOR ISSUE OF DIS BOOKLET**

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

DP ID	1	2	0	3	3	9	0	0	Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	




To  
**Progressive Share Brokers Private Limited**  
 122-124, Laxmi Plaza, Laxmi Industrial Estate,  
 New Link Road, Andheri (W), Mumbai - 400 053.

Dear Sir / Madam,  
 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 /our CDSL account thought I/We have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with Progressive Share Brokers Private Limited (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchanges trades [settlement related transactions] effected through such Cleaning Member / by PMS manager.

**OPTION 2:**  
 I/We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with Progressive Share Brokers Private Limited (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchanges trades [settlement related transactions] effected through such Cleaning Member / by PMS manager. However, the delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my / our request at any later date.

Yours faithfully

	First Holder Name	Second Joint Holder	Third Joint Holder
<b>Name</b>			
<b>Signature</b>			

Date : \_\_\_\_\_

To

**Progressive Share Brokers Private Limited**

122-124, Laxmi Plaza,  
Laxmi Industrial Estate,  
New Link Road, Andheri (W),  
Mumbai - 400 053.

Dear Sir,

I / We confirm the receipt of following documents :

1. A/c Opening letter having details of my Unique Client Code, Email ID, Bank and DP A/c.
2. DP Client Master.
3. Copy of Client Registration Form (KYC)
4. Copy of POA
- 5) Others \_\_\_\_\_

Thanking you,

Yours faithfully,

 \_\_\_\_\_

Name \_\_\_\_\_ Client Code : \_\_\_\_\_

## CONFIRMATION

1. Client name verification – YES / NO
  2. Email id – YES / NO
  3. Address – YES / NO
  4. DOB – YES / NO
  5. NOMINATION – YES / NO
  6. Relation with client (if any) – YES / NO
    - i) If yes mention relation – \_\_\_\_\_
    - ii) Letter of authority sign – YES / NO
    - iii) Who will trade in Account – \_\_\_\_\_
- Approved / Reject – \_\_\_\_\_
- Reason for Reject : \_\_\_\_\_
- Sign : \_\_\_\_\_
- Date : \_\_\_\_\_ Time : \_\_\_\_\_

ONLINE TRADING FACILITY YES / NO

---

SEBI Debarred Client List : \_\_\_\_\_

United Nations Websites : \_\_\_\_\_

Watchoutinvestors.com : \_\_\_\_\_



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**Address:** 122-124, LAXMI PLAZA, LAXMI INDUSTRIAL ESTATE, NEW LINK ROAD, ANDHERI (W), MUMBAI - 400 053.

Tel.: 022-3063 7500 Fax : 022-2630 5357 Website : [www.progressiveshares.com](http://www.progressiveshares.com)

**(Perforated Card)**

DP ID	1	2	0	3	3	9	0	0	Client ID								
	First / Sole Holder								Second Holder				Third Holder				
Name																	
Specimen Signature																	