

## Registration KIT

Individual  Non Individual

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





Client ID: \_\_\_\_\_



## **NAM SECURITIES LIMITED: a BSE Listed Company**

**Corporate Office:** 213, Arunachal Building, 19 Barakhamba Road, New Delhi 110001  
Telephone No. 011-23731122/44, E-mail ID: [nammf@yahoo.com](mailto:nammf@yahoo.com)  
Website: [www.namsecurities.in](http://www.namsecurities.in)

### SEBI Registered Members:-

-  :NSE -CM/F&O/Currency Segments & Clearing Members
-  : BSE-CM/F&O/Currency Segments
-  :NSDL-Depository Participant
-  :MCX-Currency Segment

Regd. Office: LGF 410, Sector-31, Gurgaon- 122001 (NCR)

## MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S. No.	Name of the Document	Brief Significance of the Document
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent & an instruction/checklist. B. Document captures the additional information about the Constituent relevant to trading account & an instruction /check list.
2	Tariff Sheet	Document detailing the rate/amount of brokerage & other charges levied on the client for trading on the stock exchange(s).
3	Rights & Obligations	Document stating the Rights & Obligations of stock broker /trading member & client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).
4	Risk Disclosure Document(RDD)	Document detailing risks associated with dealing in the securities market.
5	Guidance note	Document detailing do's & dont's for trading on exchange for education of investors
6	Policies & Procedures	Document describing significant policies & procedures of Stock Broker.

## VOLUNTARY & OPTIONAL DOCUMENTS AS PROVIDED BY THE STOCK BROKER

7	Under taking	Contains voluntary under takings by the client with respect to NAM Securities Ltd.'s internal operations during the course of the relationship with NAM Securities Ltd..
8	Running Account Authorization & Mobile Declaration	Letter of Authorization for maintaining a Running Account with NAM Securities Ltd. & Client consent letter for receiving SMS from NAM Securities Ltd.
9	Client Defaulter Declaration & Client Acknowledgment	Client declaration stating that he is not a defaulter & Client acknowledgment that he has read all the rules & regulations.
10	Nomination Details	Collects details of any nomination made for the account

<b>Name of Trading &amp; Clearing Member</b>	<b>NAM Securities Limited. SEBI Regn. No.: INB/F230771039</b>
<b>Name of the Depository Participant</b>	<b>NAM Securities Limited</b>
<b>Cash &amp; Derivative Segment</b>	<b>NSE:INB/INF/INE 230771039 BSE:INB/INF 010771039 MCX:INE200874130</b>

**Corporate Address :** 213, Arunachal Building, 19 Barakhamba Road, New Delhi 110001

**Compliance Officer:** PRADEEP KUMAR, Phone No. 23731122, E-Mail: nammf@yahoo.com

For any grievance please contact NAM Securities Ltd. at the above address or email

In case not satisfied with the response, please contact the concerned exchange.

NSE: [ignse@nse.co.in](mailto:ignse@nse.co.in)

BSE: [ig@bseindia.com](mailto:ig@bseindia.com)

MCX [investorcomplaints@mcx-sx.com](mailto:investorcomplaints@mcx-sx.com)

NSDL: [dp\\_igreport@nsdl.co.in](mailto:dp_igreport@nsdl.co.in)



3. Permanent Address

Address															
City/Town					District					Pin Code					
State/U.T Code							Country/ISO Code								

4. Address in the jurisdiction details where applicant is resident outside India for tax purpose (if applicable)

Address															
City/Town					District					Pin Code					
State/U.T Code							Country/ISO Code								

**D. Details of related person** (In case of additional related persons, please fill below details)

Addition of Related Person  Deletion of Related Person

KYC Number of Related Person (if available)

Related Person Type  Guardian of Minor  Assignee  Authorized Representative



Details of disputes/dues pending from/to such stock broker	
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**F. Trading preferences / experience**

No Prior Experience

Years in Equities		Years in Derivatives		Years in other Investment Related Field	
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**Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.**

\*If, in future, the client wants to trade on any new segment, a separate authorization/letter should be taken from the client by the broker.

	Cash	F&O	Currency Derivatives
NSE	Client Signature	Client Signature	Client Signature
BSE	Client Signature	Client Signature	Client Signature

**G. Additional details**

(I) Whether you wish to receive (a) Physical contract note

(b) Electronic Contract Note (ECN)

If ECN Specify your Email ID \_\_\_\_\_

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

**H. Nomination details (Please tick the options)**

I/ We do wish to nominate (Fill Annexure 1A)

I/ We do not wish to nominate

**Internet & wireless technology based trading facility provided by stock broker to the client**

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

1. Stock broker is eligible for providing Internet Based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with datacard, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT website provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy is as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such a person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stockbroker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or nonexecution of his orders due to any link / system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stockbroker/Exchanges.

**Declaration**

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

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

Place \_\_\_\_\_

Date : 

D	D	M	M	Y	Y	Y	Y
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Client Signature

**Tariff sheet**

Client ID: \_\_\_\_\_

To

**NAM Securities Ltd**Corp. Office 213, Arunachal Building, 19 Barakhamba Road,  
New Delhi 110001**Charges for NAM Securities Ltd. Trading Services**

I/ We agree to pay the charges as per following charges structure for our Trading account with NAM Securities Ltd.

Charge Head	Brokerage / Charges		
Equity	Intraday :		Delivery :
Derivatives	Futures :		Options :
Currency	Futures:		Options:
NRI	Equity :	Futures :	Options :

Disclaimer: For Delivery based trades, a minimum of Rs.50 will be charged per contract note. Clients who opt to receive physical contract notes will be charged Rs. 25 extra per contract note plus courier charges. In addition to the brokerage, the following charges will also be levied.

**Schedule of Charges:**

1.Turnover Charges | 2.Securities Transaction Tax | 3.Service Tax including Swachh Bharat Cess and Krishi Kalyan Cess  
4.SEBI Turnover Fees | 5.Stamp Duty: State-wise stamp duty as applicable will be levied

Note : Brokerage will not exceed the rates specified by SEBI and the Exchanges

All Statutory and Regulatory charges will be levied at actuals

Brokerage is also charged on expired, exercised, and assigned Options contracts

Turnover for Options is calculated as (Strike + Premium)\*Lot Size

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Client Signature

**For office use only**

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

	Documents verified with originals	Client interviewed by	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of 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.

Signature of the Authorised Signatory

Seal/Stamp of the stock broker

Date

D	D	M	M	Y	Y	Y	Y
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# NAM Securities Ltd

213, Arunachal Building, 19 Barakhamba Road,  
New Delhi 110001

## Sub: Voluntary Undertaking/Authorisation

With respect to member-constituent relationship and mandatory and voluntary (optional) documents executed between us, I/we do hereby authorize NAM Securities Ltd to do the following:

### 1.ORDER PLACEMENT INSTRUCTIONS

I understand that you require written instructions from me for placing / modifying / cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting /calling/ emailing the call centre/branch specified for the said purpose by NAM Securities Ltd in case of breakdown of internet connectivity or other similar reasons.

I hereby request you to kindly accept my verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other approved modes. I indemnify NAM Securities Ltd and its employees against all trade related losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my instructions for orders placed verbally.

### 2.ERRORS AND OMISSIONS

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances NAM Securities Ltd shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold NAM Securities Ltd responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by NAM Securities Ltd.

### 3.NO MARKET MANIPULATION

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, NAM Securities Ltd has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

### 4.NOT TO ACT AS UNREGISTERED SUB BROKER

I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients. In case I wish to deal for other clients also, I undertake to apply to SEBI through NAM Securities Ltd to obtain a sub broker registration. In case NAM Securities Ltd perceives that I am acting as an unregistered sub broker, NAM Securities Ltd has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to NAM Securities Ltd without the requirement of any notice from NAM Securities Ltd. Further, NAM Securities Ltd has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify NAM Securities Ltd from any loss/ damage/claim arising out of such activity.

### 5.NOT DEBARRED BY ANY REGULATOR

I confirm and declare that there is no bar on me imposed by any Exchange or any regulatory and/or statutory authority to deal in securities directly or indirectly. I agree to inform NAM Securities Ltd, in writing, of any regulatory action taken by any Exchange or regulatory/ statutory authority on me in future. In case I fail to inform the same and NAM Securities Ltd on its own comes to know of such action, NAM Securities Ltd has the right to suspend/close my trading account and refuse to deal with me. Also, NAM Securities Ltd can at its sole discretion, close all the open positions and liquidate collaterals to the extent of trade related debit balances, without any notice to me.

### 6. PMLA DECLARATION

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by NAM Securities Ltd officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that;

a. I do not have any links with any known unlawful persons/institutions

b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

### 7.INDEMNIFICATION

I hereby indemnify and hold NAM Securities Ltd, its Directors and employees harmless from and against all trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the NAM Securities Ltd directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

### INDEMNITY OF JOINT HOLDINGS

I hereby agree to indemnify and hold NAM Securities Ltd harmless from any trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

#### 8. BSE STAR MUTUAL FUND FACILITY

I am interested in availing the StAR Mutual Fund facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the StAR platform of the Exchange. For the purpose of availing the StAR Mutual Fund facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of StAR and I/we further confirm that the details contained in same remain unchanged as on date. I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I 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 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 choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me.

#### 9. DELAYED PAYMENT CHARGES

I understand that in case my account is in debit balance and/or if I have insufficient funds to manage my trading positions, I will be charged an interest of 0.06% per day as delayed payment charges. I confirm having read the rules & regulations pertaining to the levy of such interest under the policies & procedures page on NAM Securities Ltd's website.

#### 10. NRI DECLARATION

I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to NAM Securities Ltd every time the investment is made.

#### 11. THIRD-PARTY PAYMENTS

NAM Securities Ltd shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along with adequate proof thereof as per proforma prescribed by NAM Securities Ltd. NAM Securities Ltd shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third-party payment has been accepted by NAM Securities Ltd and the credit for the same has been given in the client's ledger, NAM Securities Ltd shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, NAM Securities Ltd reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. NAM Securities Ltd, its Directors and employees shall not be responsible for any consequential damages or losses.

#### 12. NO DEALINGS IN CASH

NAM Securities Ltd as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub-Broker/Remisier/Employee/Authorised Person of NAM Securities Ltd.

#### 13. DISCLOSURE OF PROPRIETARY TRADING BY NAM SECURITIES LTD

Pursuant to SEBI Circular Number SEBI/MRD/SEC/Cir-42/2003 dated November 19, 2003, NAM Securities Ltd discloses to its clients about its policies on proprietary trades. NAM Securities Ltd does proprietary trades in the cash and derivatives segment at NSE & BSE.

#### 14. DELIVERIES

The client shall ensure that the shares are properly transferred to the designated demat account of NAM Securities Ltd, for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchanges/NAM Securities Ltd. In case the client fails to transfer the shares on time to NAM Securities Ltd, NAM Securities Ltd shall not be responsible for any loss/damages arising out of such delayed transfers.

#### 15. SQUARING OFF OF POSITIONS & SALE /LIQUIDATION OF COLLATERAL MARGINS (to the extent of Settlement Margin obligation)

The client shall settle the transactions, within the Exchange specified settlement time, by making the requisite payment of funds and/or delivery of the shares. In case the client fails to settle the transactions within the settlement date, then NAM Securities Ltd has the right to square off the open and/or unpaid positions, at an appropriate time, as it deems fit, without any notice to the client. The client shall not have any right or say to decide on the timing of closure of the open positions that needs to be closed. NAM Securities Ltd, its Directors and Employees shall not be responsible for any trade related loss or damages arising out of such square offs. All such square off transactions shall have implied consent and authorization of the client in favour of NAM Securities Ltd.

After such square off of open positions by NAM Securities Ltd, as mentioned in above clauses, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balance, NAM Securities Ltd shall have the right to liquidate the shares and other securities of the client (kept as collateral/margin) to the extent of the debit balance, without any intimation to the client. The client shall not have the right to decide on the timing of liquidation of shares and securities held in collateral/margin and the shares and securities that needs to be sold or liquidated. NAM Securities Ltd, its Directors and employees shall not be responsible for any trade related loss or damages arising out of such selling.

Client Signature

## Running account authorization

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Interest Rate future Segment & in order to facilitate ease of operations and upfront requirement of margin for trade.

I/We authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise.
2. I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing Corporation, unless I/We instruct you to transfer the same to my/our account.
3. I/We request you to settle my fund and securities account (choose one option)  
 Once in a calendar Month  
 Once in every calendar Quarter except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt
4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges.
5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
6. I/We confirm you that I can revoke the above mentioned authority at any time.
7. All accounts with credit balances of Rs. 10000/- or lesser shall be automatically retained and transfer of funds to the bank account shall not be made as per SEBI circular MIRSD/SE/Cir-19/2009 & Exchange Circular Nos. NSE/INSP/24849 & 20091204-7.
8. This running account authorization would continue until it is revoked by me.

Yours faithfully,

Client Signature

Date : 

D	D	M	M	Y	Y	Y	Y
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## Mobile declaration

**Voluntary**

I \_\_\_\_\_ having PAN \_\_\_\_\_ do hereby declare that my mobile no. is \_\_\_\_\_ Further, I authorize NAM SECURITIES LTD. that the same may be used for

giving me any information/ alert/SMS.

I further declare the above mentioned statement is true and correct.

Client Signature

## Client Defaulter Declaration

I \_\_\_\_\_ having PAN \_\_\_\_\_ do hereby declare that I have not been involved in any unlawful activities and I have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchange/ Regulatory bodies, etc. I further declare that the above mentioned declaration/ statement is true and correct.

Client Signature

To

### **NAM Securities Ltd.**

213, Arunachal Building, 19 Barakhamba Road,  
New Delhi 110001

### **Sub: Acknowledgement**

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

Sl. No	Brief significance of the Document
1	Duly Executed Copy of KYC
2	Rights and Obligations
3	Risk Disclosure document (RDD) for Capital, Derivatives, and Currencies Segments
4	Guidance Note - Do's and Dont's for trading on the Exchange(s) for investors
5	NAM Securities Ltd. Tariff Sheet
6	Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009
7	General Terms & Conditions governing securities trading and broking services of NAM Securities Ltd.
8	Running account authorisation, Mobile declaration & Client defaulter declaration

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

Yours faithfully,

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

Client Signature

# NAM Securities Ltd

213, Arunachal Building, 19 Barakhamba Road,  
New Delhi 110001

## APPLICATION FOR OPENING AN ACCOUNT

(For Individuals Only)

Date :	Client –Id (To be filled by Participant)								
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I/We request you to open a depository account in my/our name as per the following details:  
(Please fill all the details in CAPITAL LETTERS only)

Type of Account

Ordinary Resident	NRI-Repatriable	
HUF	NRI-Non-Repatriable	Others (please specify)

Sole/First Holder's Details

Name (Mr./Ms.)					
Name of Father/Husband					
Local / Permanent Address					Pin Code
Correspondence Address					Pin Code
Telephone No.	Mobile No.	SMS facility		Yes	No
Fax Number	E-mail ID:				
Occupation	MAPIN ID:				

Other Holder Details

Second Holder Name (Mr./Ms.)					
Name of Father/Husband					
Address					Pin Code
Telephone No.	Mobile No.	SMS facility		Yes	No
Fax Number	E-mail ID:				
Occupation	MAPIN ID:				
Third Holder Name (Mr./Ms.)					
Name of Father/Husband					
Address					Pin Code
Telephone No.	Mobile No.	SMS facility		Yes	No
Fax Number	E-mail ID:				
Occupation	MAPIN ID:				

Address for communication / Corporate Benefits (Default option is Local Address)	Local / Permanent Address
	Correspondence Address / Foreign Address

**Guardian Details (In case the Sole Holder is a minor)**

Name (Mr./Ms.)									
Relationship (if any)									
Address								Pin Code	
Date of Birth (of minor)									
	D	D	M	M	Y	Y	Y	Y	

**In Case of NRIs**

Foreign Address												
RBI Reference No.					RBI Approval Date							
						D	D	M	M	Y	Y	Y

**Bank Details**

Bank Sub-type	Savings Account	Current Account
Bank Account No.		
Bank Name		
Branch Address		
	Pin Code	
9-Digit Code Number of the Bank and branch appearing on the MICR cheque issued by the Bank		

**Financial Details**

	P.A.N.								IT Circle / Ward / District No.			
Sole/First Holder												
Second Holder												
Third Holder												
Guardian (In case of minor)												

**Standing Instructions**

I/We authorise you to receive credits automatically into my/our account.	Yes	No
Account to be operated through Power of Attorney (PoA)	Yes	No

Please attach recent passport size photographs in the space provided below:

Sole/First Holder	Second Holder	Third Holder
Signature across Photograph	Signature across Photograph	Signature across Photograph

### Declaration

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/We also declare that the particulars given by me/us are true to the best of my/our knowledge as on the date of making such application. I/We further agree that any false / misleading information given by me or suppression of any material fact will render my account liable for termination and further action.

	Name(s) of holder(s)	Signature(s)
Sole/First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		
Guardian (in case of minor) (Mr./Ms.)		

# NAM Securities Ltd

213, Arunachal Building, 19 Barakhamba Road,  
New Delhi 110001

<b>Schedule-A Tariff Structure for demat account</b>		
<b>For individuals/HUF/corporates</b>		
<b>Details</b>		<b>POA Clients</b>
		<b>Option-1</b>
Stamp charges payable upfront		Rs.50/-
<b>Annual Maintenance Charges</b>		
a.	Individuals/Non Individual (except Corporate)	Rs.300/- +Service Tax
b.	Non Individual - Corporate	Rs.1000/- + Service Tax
<b>Transaction Charges : (Market Trades)</b>		
a.	Buy(Receive)	Nil
b.	Sell (Debit)	Rs.8/- + (NSDL Charges)
<b>Transaction Charges : (Off-Market Trades)</b>		
a.	Buy(Receive)	Nil
b.	Sell (Debit)	0.03% or Rs.25/- whichever is higher
<b>Demat (Per certificate)</b>		Rs. 10/- (Subject to minimum of Rs.25/- per ISIN)
<b>Remat (Per certificate)</b>		Rs. 15/- (Subject to minimum of Rs. 50/- per ISIN) + NSDL Charges
Courier charges per Demat/Remat/Demat Rejn.		Rs. 50/-
Pledge Request		Rs. 20/- + Rs. 12 per request (NSDLCharges)
Unpledge Request		Rs. 20/- + Rs. 12 per request (NSDLCharges)
Pledge invocation		Rs. 20/-
<b>Periodic Statement</b>		
a.	By Email	Free
b.	Physical	Rs. 50/- (+Courier charges at actual)
<b>Adhoc / Non Periodic Statement Requests</b>		
a.	By Email	Rs.10/- per request
b.	Physical	Rs. 50 per request upto 10 pages. Every additional page at Rs. 5 (+Courier charges at actual)
<b>Delivery instruction</b>		
a.	First Delivery Instruction Book	Free (10 Leaves)
b.	Every Addl Booklet (10 Leaves)	Rs.100/-
Cheque Bounce Charges		Rs. 350/-
Failed Transactions		Rs. 50 per ISIN
Modification in CML		Rs. 100/- per request
KRA Upload / Download		Rs. 50/-

## NOTE :

For all purposes the bill date shall be construed as the date demand and the bills will be considered as the bill cum notice for payment and NAM Securities Ltd. Securities Pvt. Ltd. reserves the right to freeze depository account for debit transaction in case of non payment of charges after two days from the bill date.

Interest at 18% p.a will be charged on the outstanding bill amount if not paid within the due date. The above tariff is subject to change. Changes if any will be intimated 30 days in advance Annual Maintenance Charge (AMC) is non refundable. Service Tax is applicable on all above charges except stamp charges.

First/Sole Holder  
or Guardian  
(in case of  
minor)

Second Holder

Third Holder





## Nomination Details - Annexure 1A

**NAM Securities Ltd.**

Note that only 1st Nominee will be considered for NAM Securities Ltd. accounts.

Nomination Registration No.	Dated

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 demat account.
- I/We nominate the following person who is entitled to receive security balances lying in my/our demat account, particulars whereof are given below, in the event of my/our death.

**Nomination Details**

Up to 3 nominations can be made	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
Name of the nominee(s) (Mr./Ms.)			
Share of each nominee <input type="checkbox"/> Distribute equally <small>[If not equally shared, please specify %age]</small>	Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
Relationship With the Applicant (if any)			
Address of nominee(s)			
Mobile/Telephone no. of nominee(s)			
Email ID of nominee(s)			
Proof of identity submitted			
<b>Fill below details only if the nominee is a minor</b>			
Date of birth			
Name of the guardian			
Address of guardian(s)			
Mobile/Telephone no. of guardian(s)			
Email ID of guardian(s)			
Relationship of guardian with nominee			
Proof of identity submitted			

**Details of the Witness**

Witnesses (Only applicable in case the account holder has made nomination)	
Witness Name	
Address	Address
Signature	Signature

First/Sole Holder  
or Guardian  
(in case of Minor)

Second Holder

Third Holder

**Acknowledgement**

We have received the nomination request for the account with client ID		
Account holder's name		
Received by		
Signature of authorized signatory		