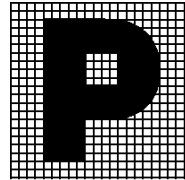


Name of Applicant _____ Code _____

Introducer _____ Code _____



PhillipCapital

PHILLIPCAPITAL (INDIA) PVT. LTD.

CLIENT REGISTRATION FORM

(FOR INDIVIDUALS)

Registered Office / Head Office :

No.1 18th Floor, Urmi Estate, 95, Ganpatrao Kadam Marg, Lower Parel West, Mumbai -
400 013 Tel. 91 -22- 2483 1919 Fax: 91-22- 2494 2056 Toll Free No: 1800 221
331 Website: www.phillipcapital.in / Email: customeraffairs@phillipcapital.in

ADDITIONAL KYC DETAILS

A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch address	Bank account no.	Account Type: Saving/Current/ Others-In case of NRI/NRE/NRO	MICR Number	IFSC code

Mode of Operation of Bank account : Single Either or Survivor

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary name	DP ID	Beneficiary ID (BO ID)

C. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities/corporate bond market during the last 3 years	
---	--

D. OTHER DETAILS:

Employers/Establishment Name _____

Office Address _____

Number of years of Investment / Trading Experience _____(Years in stocks) _____(Years in Derivatives) In Corporate Bonds _____ No prior experience _____

Educational Qualification : Under Graduate Post Graduate Graduate Professional
 Others (Specify)_____

Spouse's Name: _____ Date of Birth: _____

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 hereby confirm that I / We have never been debarred from dealing in capital/bond market and also never been suspended, expelled, defaulted at any stock exchange. I/We are not the member / Sub-broker at any exchange.

Place _____

Date _____

(-----)

Signature of Client/ (all) Authorized Signatory (ies)

Terms and Conditions for dealing in Corporate Bonds between Client and PhillipCapital (India) Pvt Ltd (hereinafter referred to as "PCIPL")

1. The instructions with regard to the transactions may be given through internet or telephone or any other reasonable mode as permitted by PCIPL.
2. The client has agreed to deal/trade in corporate bonds at client's own free will and consent and PCIPL and/or its employees have not induced the client to deal/trade in corporate bonds in any manner whatsoever.
3. The instructions with regard to the transactions issued by an authorised representative/agent, if any, of the client shall be binding upon the client. The client will be principally liable for the actions of the authorised representative/agent and that the authorised representative/agent is client's agent. Details of such authorised representative/agent are given as under:
Name : _____ PAN _____ (please enclose copy of PAN card)
4. The client shall not hold PCIPL liable on account of PCIPL acting in good faith on instructions given by the client or its authorized representative.
5. The Client agrees that orders, instructions and other communications given or made over the telephone may be routed through PCIPL's interactive Voice Response Channel or other telephone System and may be recorded by PCIPL. The Client also agrees that such recording and PCIPL records of any orders, instructions and communications given or made by the Client or PCIPL by electronic mail, fax or other electronic means shall be admissible as evidence and shall be final and binding upon the Client as evidence of the same.
6. PCIPL shall endeavor to execute the orders of the client on a best effort basis in terms of price and time and shall not be and cannot be held liable in this regard in whatsoever manner. Trading/Investment decision is the sole responsibility of the client. The client understands and agrees that past performance is not necessarily a guide to future performance.
7. PCIPL may at its discretion not carry out the client's instruction where PCIPL has reasons to believe (which discretion of PCIPL the client shall not question or dispute) that the instructions are not genuine or are otherwise improper / unclear / raise a doubt. PCIPL shall not be liable if any instructions are not carried /partly carried out for any reason, whatsoever.
8. The client understands that PCIPL may ask the client to pay the margin and the client agrees to pay or provide the same within such time frame and in such manner and mode as may be required by PCIPL.
9. The client understands and agrees to the various risks including but not limited to market risk, default risk, counterparty risk, credit risk, interest rate risks, reinvestment risk etc associated with trading in corporate bonds and other allied products. The client should carefully consider whether trading/investment is appropriate for the client in light of client's experience, objectives, financial resources and other relevant circumstances. PCIPL and any of its employees, directors, associates and/or employees, directors, associates of PhillipCapital's group entities or affiliates shall not be liable for losses, if any, incurred by the client.
10. The client is advised to seek independent third party trading/investment advice outside PhillipCapital/group/associates/affiliates/directors/employees before and during client's trading/investment.
11. The client further understands that there is no guarantee/assurance as to returns or profits or capital protection or appreciation. Risk of loss in trading/investment can be substantial including loss of principal.
12. The client agrees to give instructions through fax or through email sent by the client or by client's Authorised representative/agent, if any. PCIPL may stop/ terminate this facility given to the client by giving ten day prior written notice.
13. The client shall indemnify PCIPL and keep PCIPL indemnified and save harmless, at all times from and against any and all claims, losses, damages, costs liabilities and expenses incurred, suffered or paid by PCIPL or required to be incurred, suffered or paid by PCIPL and also against all demands, actions, suits proceedings made, filed instituted against PCIPL, in connection with or PCIPL acting pursuant to, in accordance with or relying upon, any Fax Submission and/or email instructions or any unauthorised or fraudulent or partial Fax Submission and/or email instructions to PCIPL or non receipt of fax and/or email instructions.
14. The client acknowledges and confirms the client is aware of the nature of telecommunications services that the Fax transmissions may not be received properly and may be read by or be known to any unauthorised persons. The client agrees to assume and bear all the risks involved in respect of such errors and misunderstanding and PCIPL shall not be responsible in any manner for the same or breach of confidentiality thereto and shall also not be liable for any claims, loss, damage, cost or expense and liability arising therefrom.
15. The client confirms that the title of the securities/shares/debentures/bonds is clear and the same are free from any encumbrance(s).
16. The client agrees to abide by the circulars issued by the Exchanges/SEBI from time to time and shall indemnify PCIPL in case of violation in this regard.
17. The client and PCIPL agree that they shall keep the information received during the course of the trading confidential. However, information may be disclosed in case it is required by law or by any regulatory/statutory authority.
18. The Deal confirmation and its contents once sent through fax, email or physical mode, etc by PCIPL will be final and binding upon the client.
19. These terms and conditions are subject to the Rules, Bye-laws and Regulations of the Exchanges/SEBI that may be in force from time to time.
20. The relationship between the Client and PCIPL is one of principal to principal basis and does not create and shall not be deemed to create any relationship of principal and agent or, master and servant or, employer and employee.

Authorised Signatory Signature of Client

FATCA / CRS DECLARATION FOR INDIVIDUAL ACCOUNTS

(Mandatory for each Account Holder)

Note – If you have any questions about your tax residency, please consult your professional tax advisor.

Name of Account Holder :	
Country of Birth	
Country / ies of Citizenship	

Are you a tax resident of any country other than India

Yes

No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Number below.

Name of Country	Tax Identification Number / Other Equivalent Number	Identification Type

Declaration:

1. I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief correct and complete. In case of any change in the above given status on a future date, I undertake to inform PhillipCapital India Pvt Ltd. (PCIPL) the same within 30 days.
2. I agree that if I am a U.S. Person or tax resident of a reportable foreign jurisdiction (other than U.S.) requiring reporting under FATCA/CRS or any other laws, my account details, as required under Inter Governmental Agreement (IGA)/ Multilateral Competent Authority Agreement (MCAA) signed by Indian Government, would be reported by PCIPL to the relevant tax authority.
3. If my Country of Birth is US, I am providing a certificate of relinquishment of citizenship (loss of nationality) OR a self certification for stating reasons for not having such a certificate despite relinquishing US citizenship OR not obtaining US citizenship at birth.
4. I hereby confirm that details as provided by me above can be shared by PCIPL with the concerned entities/authorities to whom FATCA/CRS norms are applicable.
5. I also understand that as may be required by domestic or overseas regulators/tax authorities, PCIPL may also be constrained to withhold payouts of any sum from my account or close or suspend my account (s).

Client's Signature	(S)
Date	