



# TOTAL SECURITIES L I M I T E D

MEMBER: THE BOMBAY STOCK EXCHANGE LIMITED, MUMBAI (CASH, F&O & CURRENCY)  
NATIONAL STOCK EXCHANGE OF INDIA LIMITED (CASH, F&O & CURRENCY)

## CONSOLIDATED APPLICATIONS FORM FOR REGISTRATION AS CLIENT ("CAF")

NAME OF THE CLIENT: \_\_\_\_\_

UNIQUE CLIENT CODE: \_\_\_\_\_

INTERNAL REFERENCE NUMBER: \_\_\_\_\_

Registered Office: HNO:- 15-36/G/6<sup>th</sup>-6, Daman Ganga, Darchan Coop. Housing Society, Khariwadi, Nani  
Daman, Daman, DD 396210 IN.

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## Annexure 1

## INDEX OF DOCUMENTS

## MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES

Sr. No.	Name of Document	Brief Significance of Documents	Page No.
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction / check list	2-6
		B. Document captures the additional information about the constituent relevant to trading account	7-9
2	Rights and Obligations	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).	10-15
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing In the securities market.	16-19
4	Guidance Note	Document detailing do's and don'ts for trading on Exchange, for the education of the investors.	20-21
5	Policies and Procedures	Document describing significant policies and Procedures of the stock broker.	22-25
6	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading On the stock exchange(s).	26
VOLUNTARY DOCUMENTS			
1	Running Account Authorization	To Maintain fund, Securities on running account basis	27
2	ECN Letter	This mandate is to authorization to issue contract note In digital mode. It provides terms and conditions for the issuance of digital contract note	28
3	Letter of Authority	Letter for smooth functioning of account	29
4	Client defaulter declaration	In case of any defaulter database	30
5	PMLA-Customer Awareness	Provides awareness about Money Laundering Act	31-34
6	Welcome Letter	Letter to client giving him the copy of duly executed documents	35
7	For official use	For Total Securities Limited use only	36

The clients are hereby informed/intimated that we are doing Trading in Proprietary account in addition to Clientele Business.

(Disclosure made in pursuance of SEBI Circular No SEBI/MRD/SE/Cir-42/2003 dated 19<sup>th</sup> November 2003)

FOR OFFICIAL USE



1<sup>st</sup> Eden Garden, Opp. B.C.C.I Ground, Mahavir Nagar, Kandivali (West),

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In person verification details:

Done By	Designation	Date	Place	Sign

Form Details

	Name	Date	Signature of employee
Received By			
Checked By			
Opened By			
UCC Upload By			
Checked by Compliance Auditor			
Remarks			

Brokerage Slab:

Trading Brokerage: Higher of _____% or Rs _____				Delivery Brokerage: Higher of _____% or Rs _____			
One Side Brok	Y / N	Trxn Charges	Y / N	Stamp Duty	Y / N	ST & STT	Y / N



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