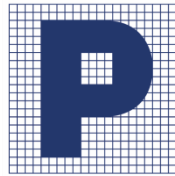


Name of Applicant _____ Code _____

Introducer _____ Code _____



Phillip Services

PHILLIP SERVICES INDIA Private
Limited

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.phillipservices.com/ Email: PhillipBondDesk@phillipservices.com

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

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 Experience in Corporate Bonds/No Prior Experience _____

E. Gross Annual Income (details (Please tick (√)

Below 1 lac 1 - 5 lacs 5-10 lacs 10-25 lacs > 25 lacs – 1 crore > 1 crore

Net-worth in Rs. (Net worth should not be older than 1 year) _____ as on date dd/mm/yyyy □□/□□/□□□□

F. Occupation Details :-

Nature of job/Business/Work _____ Experience (No of years) _____
Employers/Establishment Name _____
Office address: _____

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 bond market and also never been suspended, expelled, defaulted at any stock exchange..

Place -----

Date -----

(-----)

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

Terms and Conditions for dealing in Corporate Bonds and other products i.e. Market Linked Debentures, Structured Products etc. between Counterparty and Phillip Services India Private Limited (hereinafter referred to as "PSIPL")

1. The instructions with regard to the transactions may be given through registered email ID or telephone or any other mode as permitted by PSIPL.
2. The counterparty has agreed to deal / trade in corporate bonds and other products i.e. Market linked Debentures, Structured Products etc at counterparty's own free will and consent and PSIPL and / or its employees have not induced the counterparty to deal/trade in corporate bonds and other products in any manner whatsoever.
3. The instructions with regard to the transactions issued by an authorised representative / agent, if any, of the counterparty shall be binding upon the counterparty. The counterparty will be principally liable for the actions of the authorised representative / agent. Details of such authorised representative / agent are given as under:

Name : _____ PAN _____

4. The counterparty shall not hold PSIPL liable on account of PSIPL acting in good faith on instructions given by the counterparty or its authorized representative.
5. The counterparty agrees that orders, instructions and other communications given or made over the telephone may be routed through PSIPL's interactive Voice Response Channel or other telephone System and may be recorded by PSIPL. The Counterparty also agrees that such recording and PSIPL records of any orders, instructions and communications given or made by the Counterparty or PSIPL by electronic mail, fax or other electronic means shall be admissible as evidence and shall be final and binding upon the Counterparty as evidence of the same.
6. PSIPL shall endeavor to execute the orders of the counterparty 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 counterparty. The counterparty understands and agrees that past performance is not necessarily a guide to future performance.
7. PSIPL may at its discretion not carry out the counterparty's instruction where PSIPL has reasons to believe (which discretion of PSIPL the counterparty shall not question or dispute) that the instructions are not genuine or are otherwise improper / unclear / raise a doubt. PSIPL shall not be liable if any instructions are not carried / partly carried out for any reason, whatsoever.
8. The counterparty 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, market linked debentures, perpetual bonds and other products. The counterparty should carefully consider whether trading / investment is appropriate for the counterparty in light of counterparty's experience, objectives, financial resources and other relevant circumstances and after reading and understanding the Offer Document/RHP/Term Sheet etc. PSIPL and any of its employees, directors, associates and/or employees, directors, associates of Phillip Services group entities or affiliates shall not be liable for losses, if any, incurred by the counterparty.
9. The counterparty is advised to seek independent third party advice outside Phillip Services group / associates / affiliates / directors / employees before and during counterparty's trading / investment.
10. The counterparty 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.
11. The counterparty shall indemnify PSIPL and keep PSIPL 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 PSIPL or required to be incurred, suffered or paid by PSIPL and also against all demands, actions, suits, proceedings made, filed instituted against PSIPL, in connection with or PSIPL 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 PSIPL or non receipt of fax and/or email instructions.
12. The counterparty confirms that the title of the securities/debentures/bonds is clear and free from any encumbrance(s).
13. The counterparty and PSIPL 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.
14. The deal confirmation and its contents once sent through fax, email or physical mode etc. by PSIPL will be final and binding upon the counterparty.
15. Any disputes shall be governed by laws of India and shall be subject to jurisdiction of courts in Mumbai only.
16. The relationship between the counterparty and PSIPL 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 etc

For Phillip Services India Private Limited.

Authorised Signatory

Signature of Counterparty