



## GYANDEEP STOCKS PRIVATE LIMITED

**MEMBER :** THE NATIONAL STOCK EXCHANGE OF INDIA LIMITED (NSE)  
BOMBAY STOCK EXCHANGE LIMITED (BSE)  
MULTI COMMODITY EXCHANGE OF INDIA LIMITED (MCX)  
CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED (CDSL)

Registered Office : E-164, Neelkanth Apartment, 2nd Floor, Ramesh Marg,  
C-Scheme, Jaipur-302001 (Rajasthan, India)

Telephone : 0141-4036666  
Fax : 0141-4036666

Email : mail@gyandeepstocks.com  
CIN : U74992RJ2004PTC018927

### DEMAT AND TRADING ACCOUNT OPENING FORM

#### REGISTRATION FOR

NSE	CM <input type="checkbox"/>	F&O <input type="checkbox"/>	CDS <input type="checkbox"/>
BSE	CM <input type="checkbox"/>	F&O <input type="checkbox"/>	CDS <input type="checkbox"/>
MCX	COMM. <input type="checkbox"/>		
CDSL	DEMAT <input type="checkbox"/>		

BRANCH : \_\_\_\_\_

BO ID : 12095800-\_\_\_\_\_

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

CLIENT NAME : \_\_\_\_\_

DATE OF REG.: (DP) \_\_\_\_\_ (TR) \_\_\_\_\_

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MEMBER: NSE, BSE, MCX & CDSL

Exchange	Exchange/DP Membership No.	Exchange/DP/ Membership Date	SEBI Registration No.	SEBI Registration Date	Segment
NSE	13016	06-11-2008	INZ 000001230	04-12-2014	Capital Market
NSE	13016	06-11-2008	INZ 000001230	04-12-2014	Futures & Options
NSE	13016	27-03-2009	INZ 000001230	04-12-2014	Currency Derivatives
BSE	6574	04-12-2014	INZ 000001230	04-12-2014	Capital Market
BSE	6574	24-09-2014	INZ 000001230	04-12-2014	Futures & Options
BSE	6574	24-09-2014	INZ 000001230	04-12-2014	Currency Derivatives
MCX	40225	08-06-2020	INZ 000001230	04-12-2014	Commodity Derivatives
CDSL	12095800	08-06-2022	IN-DP-687-2022	01-04-2022	Depository Participant

**Corporate, Registered & Correspondence Office:**

**Gyandeep Stocks Private Limited**

E-164, Neelkanth Apartment, 2nd Floor,  
Ramesh Marg, C- Scheme, Jaipur-302001

**Compliance Officer Details (for Stock Exchanges): Mr. Bharat Prakash Sharma**

**Principal Officer Details for DP: Mr. Gyandeep Khemka**

**Compliance Officer Details (for DP) : Mr. Bharat Prakash Sharma**

*For any grievance/dispute please contact member **M/s Gyandeep Stocks Private Limited.** at the above address or email [investor@gyandeepstocks.com](mailto:investor@gyandeepstocks.com) and Phone no. 0141-403666 In case not satisfied with the response, please contact the concerned exchange(s) at [ignse@nse.co.in](mailto:ignse@nse.co.in), [is@bseindia.com](mailto:is@bseindia.com), [investorcomplaints@msei.in](mailto:investorcomplaints@msei.in) & [complaints@cdslindia.com](mailto:complaints@cdslindia.com) and Phone no. 1800220058, 022-22728517, 022-61129028 & 18002005533 respectively.*

*\*Following documents should not form part of either mandatory or voluntary documents:*

- 1) Authorization letter for any inter family / group company / related accounts adjustment.*
- 2) Authorization of adjustment of funds among securities exchange and commodities exchange.*

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### Clearing Member Details:

Exchange Segments	NSE Capital Market	NSE Equity F&O	NSE Currency Derivatives	BSE Capital Market	BSE Equity F&O	BSE Currency Derivatives	MCX Derivatives Market
Clearing Member Name	Self (SCM)	Self (SCM)	Self (SCM)	Self	Self	Self	Globe Commodities Ltd.
Clearing Code	M51560	M51560	M51560	6574	6574	6574	40225
Membership No.	13016	13016	13016	6574	6574	6574	40225
SEBI Reg. No.	INZ 000001230	INZ 000001230	INZ 000001230	INZ 000001230	INZ 000001230	INZ 000001230	INZ 000001230

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

Please fill in ENGLISH and in BLOCK LETTERS



Place for  
Intermediary Logo

Application No. :

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

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

Name

Father's/Spouse 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

PHOTOGRAPH

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**

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**



**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

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, VFCs, 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.

Please Submit the KYC Documents on A4 Size Paper Only.



## KYC Details Change form (For Individuals Only)



Place for  
Intermediary Logo

Application No. :

Please fill this update / modification form in ENGLISH and in BLOCK LETTERS (Please strike off Sections that are not used).

### A Name of Applicant (Mandatory as per original KYC records)

Title ☐ Mr. ☐ Ms. ☐ Other (Please specify) \_\_\_\_\_ Aadhaar Number, if any: \_\_\_\_\_ PAN \_\_\_\_\_

Name \_\_\_\_\_

Date of Birth    /    /

Please Provide the new KYC details which should be updated in your KYC records.

### B. Mandatory fields for KYCs done before 1<sup>st</sup> January 2012

1. Father's/Spouse Name \_\_\_\_\_

2. Current Marital status ☐ Single ☐ Married

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

Note "FOR OFFICE USE ONLY": The IPV Column should be mandatorily filled for all KYCs registered before 1st January 2012. Originals Seen and Verified should be mandatorily filled for changes to Identity and Address details.

### C. Identity Details (please see guidelines overleaf)

1. New Name (As appearing in supporting identification document).  
Name \_\_\_\_\_

2. New Status Please tick (✓) ☐ Resident Individual ☐ Non Resident (Passport Copy Mandatory for NRIs & Foreign Nationals)

3. PAN \_\_\_\_\_ Please enclose a duly attested copy of your PAN Card

4. Proof of Identity submitted for PAN exempt cases Please Tick (✓)  
☐ Aadhaar Card ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others \_\_\_\_\_ (Please see guideline 'D' overleaf)

### D. Address Details (please see guidelines overleaf)

1. New 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. New Permanent Address of Resident Applicant if different from above C1 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: \_\_\_\_\_

### SIGNATURE OF APPLICANT

✓  
Old signature as per original KYC  
Wherever Applicable

### 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

✓

### 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  
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 in all type of change request.**
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. Aadhaar Number / 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. Aadhaar Number / 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.

Please Submit the KYC Documents on A4 Size Paper Only.



## CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

### Important Instructions:


- A) Fields marked with '\*' are mandatory fields.  
 B) Please fill the form in English and in BLOCK letters.  
 C) Please fill the date in DD-MM-YYYY format.  
 D) Please read section wise detailed guidelines / instructions at the end.  
 E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 F) List of two character ISO 3166 country codes is available at the end.  
 G) KYC number of applicant is mandatory for update application.  
 H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



<b>For office use only</b> (To be filled by financial institution)	Application Type* KYC Number	<input type="checkbox"/> New <input type="checkbox"/> Update	(Mandatory for KYC update request)
	Account Type*	<input type="checkbox"/> Normal <input type="checkbox"/> Simplified (for low risk customers) <input type="checkbox"/> Small	

### ☐ 1. PERSONAL DETAILS (Please refer instruction A at the end)

Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)			
Maiden Name (If any*)			
Father / Spouse Name*			
Mother Name*			
Date of Birth*	DD - MM - YYYY		
Gender*	<input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender		
Marital Status*	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others		
Citizenship*	<input type="checkbox"/> IN- Indian <input type="checkbox"/> Others (ISO 3166 Country Code )		
Residential Status*	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector ) <input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student ) <input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorised		

**PHOTO**  
  
☒ Signature / Thumb Impression

### ☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*	<input type="text"/>
Tax Identification Number or equivalent (If issued by jurisdiction)*	<input type="text"/>
Place / City of Birth*	ISO 3166 Country Code of Birth* <input type="text"/>

### ☐ 3. PROOF OF IDENTITY (PoI)\* (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number <input type="text"/>	Passport Expiry Date DD - MM - YYYY
<input type="checkbox"/> B- Voter ID Card <input type="text"/>	
<input type="checkbox"/> C- PAN Card <input type="text"/>	
<input type="checkbox"/> D- Driving Licence <input type="text"/>	Driving Licence Expiry Date DD - MM - YYYY
<input type="checkbox"/> E- UID (Aadhaar) <input type="text"/>	
<input type="checkbox"/> F- NREGA Job Card <input type="text"/>	
<input type="checkbox"/> Z- Others (any document notified by the central government) <input type="text"/>	Identification Number <input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code <input type="text"/>	Identification Number <input type="text"/>

### 4. PROOF OF ADDRESS (PoA)\*

#### ☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type*	<input type="checkbox"/> Residential / Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport <input type="checkbox"/> Driving Licence <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Voter Identity Card <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> Others <input type="text"/> please specify <input type="checkbox"/> Simplified Measures Account - Document Type code <input type="text"/>

#### Address

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	Pin / Post Code* <input type="text"/> State / U.T Code* <input type="text"/> ISO 3166 Country Code* <input type="text"/>

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

[illegible]

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

[illegible]

Tel. (Off)	[ ][ ]-[ ][ ][ ][ ]	Tel. (Res)	[ ][ ]-[ ][ ][ ][ ][ ][ ]	Mobile	[ ][ ]-[ ][ ][ ][ ][ ][ ]
FAX	[ ][ ]-[ ][ ][ ][ ]	Email ID			

☐ Addition of Related Person    ☐ Deletion of Related Person    KYC Number of Related Person (if available\*)

Related Person Type\* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name\* Prefix  First Name  Middle Name  Last Name

(If KYC number and name are provided, below details of section 6 are optional)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

• I hereby declare that the details furnished above are true and correct to the best of my 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 aware that I may be held liable for it.

● I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date :  -  -

[illegible]

Signature / Thumb Impression of Applicant

**Documents Received**      ☐ **Certified Copies**

KYC VERIFICATION CARRIED OUT BY										INSTITUTION DETAILS																				
Date	DD		MM		YYYY						Name																			
Emp. Name											Code																			
Emp. Code																														
Emp. Designation																														
Emp. Branch																														
[Employee Signature]										[Institution Stamp]																				



**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Correspondence / Local Address**

A) Fields marked with '\*' are mandatory fields.

B) Please fill the form in English and in BLOCK letters.

C) Please fill the date in DD-MM-YYYY format.

D) Please read section wise detailed guidelines / instructions at the end.

E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.

F) List of two character ISO 3166 country codes is available at the end.

G) KYC number of applicant is mandatory for update application.

H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



*(Mandatory for KYC update request)*

[illegible]

Tel. (Off)	[ ][ ]-[ ][ ][ ][ ]	Tel. (Res)	[ ][ ]-[ ][ ][ ][ ][ ][ ]	Mobile	[ ][ ]-[ ][ ][ ][ ][ ][ ]
FAX	[ ][ ]-[ ][ ][ ][ ]	Email ID			

- I hereby declare that the details furnished above are true and correct to the best of my 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 aware that I may be held liable for it.

Date :   -   -

[illegible]

✓

✓

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

**Annexure B1****CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Related Person****Important Instructions:**

- A) Fields marked with '\*' are mandatory fields.  
B) Please fill the form in English and in BLOCK letters.  
C) Please fill the date in DD-MM-YYYY format.  
D) Please read section wise detailed guidelines / instructions at the end.  
E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
F) List of two character ISO 3166 country codes is available at the end.  
G) KYC number of applicant is mandatory for update application.  
H) For particular section update, please tick (✓) in the box available before the section number and strike of the sections not required to be updated.

**For office use only**

Application Type\*

☐ New ☐ Update

(To be filled by financial institution) KYC Number

(Mandatory for KYC update request)

☐ **1. DETAILS OF RELATED PERSON** (Please refer instruction G at the end)☐ Addition of Related Person ☐ Deletion of Related Person

KYC Number of Related Person (if available\*)

Related Person Type\*

☐ Guardian of Minor☐ Assignee☐ Authorized Representative

Prefix

First Name

Middle Name

Last Name

Name\*

(If KYC number and name are provided, below details of section 1 are optional)

**PROOF OF IDENTITY (PoI) OF RELATED PERSON\*** (Please see instruction (H) at the end)☐ A- Passport Number

Passport Expiry Date

☐ B- Voter ID Card☐ C- PAN Card☐ D- Driving Licence

Driving Licence Expiry Date

☐ E- UID (Aadhaar)☐ F- NREGA Job Card☐ Z- Others (any document notified by the central government)

Identification Number

☐ S- Simplified Measures Account - Document Type code

Identification Number

**2. APPLICANT DECLARATION**

- I hereby declare that the details furnished above are true and correct to the best of my 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 aware that I may be held liable for it.



[Signature / Thumb Impression]

Date : Place : 

Signature / Thumb Impression of Applicant

**3. ATTESTATION / FOR OFFICE USE ONLY****Documents Received**☐ Certified Copies**KYC VERIFICATION CARRIED OUT BY**

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

**INSTITUTION DETAILS**

Name

Code

[Institution Stamp]

## FATCA & CRS Declaration - Individual

PAN  Trading  DP Code

Name

Place of Birth  Country of Birth

Nationality

Annual Income ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac  
☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ > 1 Crore

Net Worth Amount Rs.  Net Worth as on  D  M  Y  Y  Y  Y  
 (Net worth should not be older than 1 year)

Occupational ☐ Business ☐ Private Sector ☐ Professional ☐ Government Service ☐ Public Sector  
 Detail ☐ Agriculturist ☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others

Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐

Are you a tax resident of any country other than India ☐ Yes ☐ No

If yes please indicates the all countries in which you are resident for tax purpose and the associated Tax ID number below.

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.			
2.			
3.			

### DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform M/s. GYANDEEP STOCKS PVT. LTD. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Sign here : (I) 

Date :  D  D  M  M  Y  Y  Y  Y

Place :

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## 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/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 or, 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.

**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). 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>

Please Submit the KYC Documents on A4 Size Paper Only.

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

Place for Intermediary Logo



Name & Signature of the Authorised Signatory(ies)

Date

d | a | / | m | m | / | y | y | y | y |

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

Place for Intermediary Logo



Name & Signature of the Authorised Signatory(ies)      Date    d | d | / m | m | / y | y | y | y |



**KYC Details Change Form**  
**(For Non-Individuals Only)**


Application No. :

**Existing Identify Details**1. **Name of Applicant** (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).2. **Permanent Account Number (PAN) (MANDATORY)** Please enclose a duly attested copy of your PAN Card

Please provide the new KYC details which should be updated in your KYC records

Please fill in **ENGLISH** and in **BLOCK LETTERS** with black ink (Please strike off Sections that are not used.)**A. New Identity Details (as per the original KYC records) please see guidelines overleaf)**1. **Name of Applicant** (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).2. **Date of Incorporation** d d / m m / y y y y **Place of Incorporation**3. **Registration No. (e.g. CIN)**4. **Status** Please tick (✓) ☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust / Charities / NGOs ☐ FI ☐ FII ☐ HUF  
☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government Organisation ☐ Defence Establishment ☐ Body of Individuals ☐ Society ☐ LLP  
Others (Please specify)5. **Permanent Account Number (PAN) (MANDATORY)** Please enclose a duly attested copy of your PAN Card**B. Address Details (please see guidelines overleaf)**1. **Address for Correspondence**City / Town / Village  
State

Country

Postal Code

2. **Contact Details**Tel. (Off.) (ISD) (STD)  
Mobile (ISD) (STD)  
E-Mail Id.Tel. (Res.) (ISD) (STD)  
Fax (ISD) (STD)3. **Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**☐ \*Latest Telephone Bill (only Land Line) ☐ \*Latest Electricity Bill ☐ \*Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises  
☐ Any other proof of address document (as listed overleaf). (Please specify)\*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** d d / m m / y y y y4. **Registered Address (If different from above)**City / Town / Village  
State

Country

Postal Code

5. **Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**☐ \*Latest Telephone Bill (only Land Line) ☐ \*Latest Electricity Bill ☐ \*Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises  
☐ Any other proof of address document (as listed overleaf). (Please specify)\*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** d d / m m / y y y y**C. Other Details (please see guidelines overleaf)**1. **Gross Annual Income Details** Please tick (✓): ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25 Lacs-1 Crore ☐ > 1 Crore2. **Net-worth in ₹. (\*Net worth should not be older than 1 year)** as on (date) d d / m m / y y y y3. **Name, PAN, DIN/UID, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors**  
(Please use the Annexure to fill in the details)4. **Is the entity involved/providing any of the following services** ☐ YES ☐ NO- For Foreign Exchange / Money Changer Services ☐ YES ☐ NO - Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) ☐ YES ☐ NO  
- Money Lending / Pawning ☐ YES ☐ NO5. **Any other information:****DECLARATION**

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.

**NAME & SIGNATURE(S)**  
**OF AUTHORISED**  
**PERSON(S)**

Place:

Date:

**FOR OFFICE USE ONLY**

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

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 in all type of change request.
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 or, 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 FI/sub account, Power of Attorney given by FI/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, FIs, 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.

### 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). 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>• Authorised 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>• Authorised 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>• Authorised 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>• Authorised 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>

Please Submit the KYC Documents on A4 Size Paper Only.

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity/ Other than Individuals



**Important Instructions:**

- A) Fields marked with \* are mandatory fields.  
 B) Tick ✓ wherever applicable.  
 C) Please fill the date in DD-MM-YYYY format.  
 D) Please fill the form in English and in BLOCK letters.  
 E) KYC number of applicant is mandatory for update application.  
 F) List of State / U.T code as per Indian Motor Vehicle Act, 1988, is available at the end.  
 G) List of two character ISO 3166 country codes is available at the end.  
 H) Please read section wise detailed guidelines / instructions at the end.  
 I) For particular section update, please tick (x) in the box available before the section number and strike off the sections not required to be updated.

**For office use only**

Application Type\*

☐ New ☐ Update

(To be filled by financial institution) KYC Number

(Mandatory for KYC update request)

**1. ENTITY DETAILS\* (Please refer instruction A at the end)**

Name\*

Entity Constitution Type\*  (Please refer instruction B at the end)

Date of Incorporation / Formation\*  Date of Commencement of Business

Place of Incorporation / Formation\*  Country of Incorporation / Formation\*  TIN or Equivalent Issuing Country

PAN\*  Form 60 furnished ☐

TIN / GST Registration Number

**2. PROOF OF IDENTITY (PoI)\* (Please refer instruction B at the end)**

- ☐ Officially valid document(s) in respect of person authorised to transact  
☐ Certificate of Incorporation / Formation ☐ Registration Certificate  
☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed  
☐ Resolution of Board / Managing Committee ☐ Power of attorney granted to its manager, officers or employees to transact on its behalf  
☐ Activity Proof - 1 (For Sole Proprietorship Only) ☐ Activity Proof - 2 (For Sole Proprietorship Only)

**3. ADDRESS\* (Please see instruction C at the end)**

**3.1 Registered Office Address / Place of Business\***

Proof of Address\* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document  
 Line 1\*   
 Line 2\*   
 Line 3\*  City / Town / Village\*   
 District\*  PIN / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

**3.2 Local Address in India (If different from Above)\***

Line 1\*   
 Line 2\*   
 Line 3\*  City / Town / Village\*   
 District\*  PIN / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

**4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided\* may be used) (Please refer instruction D at the end)**

Tel. (Off)  FAX   
 Mobile  Email (ID)   
 Mobile  Email (ID)

**5. NUMBER OF RELATED PERSONS:  (Please refer instruction E at the end)**

☐ 6. REMARKS (If any)

7. APPLICANT DECLARATION (Please refer Instruction G at the end)

- I hereby declare that the details furnished above are true and correct to the best of my 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 aware that I may be held liable for it.
- I have hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date:

Place:

Signature of the Applicant (If any)

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received: ☐ Certified Copies ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY:

Identity Verification:

☐ Done

Date:

Emp. Name:

Emp. Code:

Emp. Designation:

Emp. Branch:

INSTITUTION DETAILS

Name:

Code:

## Annexure A2 | Legal Entity / Other than Individuals

### CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

#### Important Instructions:

- A) Fields marked with "\*" are mandatory fields.  
 B) Tick ☒ wherever applicable.  
 C) Please fill the date in DD-MM-YYYY format.  
 D) Please fill the form in English and in BLOCK letters.  
 E) KYC number of applicant is mandatory for update application.  
 F) List of State / U T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 G) List of two character ISO 3166 country codes is available at the end.  
 H) Please read section wise designed guidelines / instructions at the end.  
 I) For particular section update, please tick "I" in the box available before the section number and strike off the sections not required to be updated.



For office use only

Application Type\*

☐ New ☐ Update ☐ Delete

(To be filled by financial institution) KYC Number

(Mandatory for KYC update and delete request)

#### 1. DETAILS OF RELATED PERSON\* (Please refer instruction E at the end)

☐ Addition of Related Person

☐ Deletion of Related Person

☐ Update Related Person Details

KYC Number of Related Person (if available\*)

If KYC number is available, only "Related Person Type" & Name is mandatory

Related Person Type\*

- ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointed Official ☐ Proprietor  
☐ Beneficiary ☐ Authorized Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director Identification Number)

(Mandatory if Related Person Type is Director)

#### 1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				
Date of Birth*				
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T- Transgender	
Nationality*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )		
PAN*	<input type="checkbox"/> Form 60 furnished			

#### 1.2 PROOF OF IDENTITY AND ADDRESS\* (Please refer instruction E at the end)

I. Certified copy of QVD or equivalent e-document of QVD or QVD obtained through digital KYC process needs to be submitted (anyone of the following QVDs):

- ☐ A- Passport Number  
☐ B- Voter ID Card  
☐ C- Driving Licence  
☐ D- NREGA Job Card  
☐ E- National Population Register Letter  
☐ F- Proof of Possession of Aadhaar  
☐ G- KYC Authentication  
☐ H- Offline verification of Aadhaar

☐ PHOTO\*



Address:

Line 1*				
Line 2				
Line 3				
District*	Pin / Post Code*	State / U T Code*	City / Town / Village*	ISO 3166 Country Code*

#### 1.3. CURRENT ADDRESS DETAILS (Please refer instruction E at the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of QVD or equivalent e-document of QVD or QVD obtained through digital KYC process needs to be submitted (anyone of the following QVDs):

- ☐ A- Passport Number  
☐ B- Voter ID Card  
☐ C- Driving Licence  
☐ D- NREGA Job Card  
☐ E- National Population Register Letter  
☐ F- Proof of Possession of Aadhaar  
☐ G- KYC Authentication  
☐ H- Offline verification of Aadhaar

W. ☐ Deemed PoA

V. ☐ Self Declaration



**Address**

Line 1\*

Line 2

Line 3

District\*

City / Town / Village\*

Pin / Post Code\*

State / UT Code\*

ISO 3166 Country Code\*

**1. 4 CONTACT DETAILS** (All communication will be sent on provided mobile no. // Email-ID) (Please refer Instruction D at the end)

Tel. (Off)

Tel. (Res)

Mobile

Email ID:

**2. APPLICANT DECLARATION**

- I hereby declare that the details furnished above are true and correct to the best of my 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 aware that I may be held liable for it.

- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date

Place

Signature /Thumb Impression of Applicant

**3. ATTESTATION / FOR OFFICE USE ONLY****Documents Received**☐ Certified Copies☐ Digital KYC process☐ E-KYC/data received from UIDAI☐ Equivalent e-document☐ Data received from Offline verification**KYC VERIFICATION CARRIED OUT BY**

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

**INSTITUTION DETAILS**

Name

Code

## FATCA & CRS Declaration - Non Individual

PAN  Trading  DP Code   
 Name

Please tick the applicable tax resident declaration

1. Is "Entity" a tax resident of any country other than India ☐ Yes ☐ No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.			
2.			

In case Tax Identification Number is not available, kindly provide its functional equivalent.

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

### PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

1. We are a, Financial institution <input type="checkbox"/> (Refer 1 of Part C) or Direct reporting NFE <input type="checkbox"/> (Refer 3(vii) of Part C) (please tick as appropriate)	<b>GIIN</b> <span style="border: 1px solid black; display: inline-block; width: 200px; height: 20px;"></span> <b>Note:</b> If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below Name of sponsoring entity <span style="border-bottom: 1px solid black; display: inline-block; width: 200px;"></span>  <input type="checkbox"/> <b>GIIN not available</b> (please tick as applicable) <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <span><input type="checkbox"/> <b>Applied for</b></span> <span><input type="checkbox"/> Not obtained – Non-participating FI</span> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <span><input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category</span> <span><span style="border: 1px solid black; display: inline-block; width: 30px; height: 15px;"></span> (Refer 1 A of Part C)</span> </div>
--	---

### PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1. Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)	Yes <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange <span style="border-bottom: 1px solid black; display: inline-block; width: 150px;"></span>
2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)	Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company <span style="border-bottom: 1px solid black; display: inline-block; width: 150px;"></span> Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange <span style="border-bottom: 1px solid black; display: inline-block; width: 150px;"></span>
3. Is the Entity an active NFE (Refer 2c of Part C)	Yes <input type="checkbox"/> Nature of Business <span style="border-bottom: 1px solid black; display: inline-block; width: 150px;"></span> Please specify the sub-category of Active NFE <span style="border: 1px solid black; display: inline-block; width: 30px; height: 15px;"></span> (Mention code – refer 2c of Part C)
4. Is the Entity a passive NFE (Refer 3(ii) of Part C)	Yes <input type="checkbox"/> Nature of Business <span style="border-bottom: 1px solid black; display: inline-block; width: 150px;"></span>


### UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)

**Category** (Please tick applicable category):

<input type="checkbox"/> Unincorporated association / body of individuals	<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Partnership Firm	<input type="checkbox"/> Limited Liability Partnership Company
<input type="checkbox"/> Others (please specify <span style="border-bottom: 1px solid black; display: inline-block; width: 100px;"></span> )	<input type="checkbox"/> Public Charitable Trust	<input type="checkbox"/> Religious Trust	<input type="checkbox"/> Private Trust

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN #			
Address	Zip <input type="text"/> State: <input type="text"/> Country: <input type="text"/>	Zip <input type="text"/> State: <input type="text"/> Country: <input type="text"/>	Zip <input type="text"/> State: <input type="text"/> Country: <input type="text"/>
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office
Tax ID %			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="text"/>	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="text"/>	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="text"/>
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD <input type="text"/> <input type="text"/>	DD <input type="text"/> <input type="text"/>	DD <input type="text"/> <input type="text"/>
Percentage of Holding (%) <sup>s</sup>			
<p>* To include US, where controlling person is a US citizen or green card holder</p> <p><sup>#</sup> If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.</p> <p><sup>*</sup> In case Tax Identification Number is not available, kindly provide functional equivalent</p> <p><sup>s</sup> Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary</p>			
<b>DECLARATION</b>			
<p>I have read and understood the information requirements and the Terms &amp; Conditions mentioned in this Form (read along with FATCA &amp; CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform M/s GYANDEEP STOCKS PVT. LTD. for any modification to this information promptly.</p> <p>I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA &amp; CRS on Automatic Exchange of Information (AEOI).</p>			
Name			
Designation			
Sign here : (I) 	<div style="border: 1px solid black; width: 250px; height: 40px; margin-bottom: 10px;"></div> <div style="display: flex; justify-content: space-between;"> <div>Date : <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/></div> <div>Place : <input type="text"/></div> </div>		



**DEMAT ACCOUNT RELATED ADDITIONAL DETAILS**

(For Demat Account Opening)

**(For both Individuals & Non-Individuals)**

(To be filled by the Depository Participant)

Applicant No.:		Date:			-			-				
DP Internal Reference No.:												
DP ID:	1	2	0	9	5	8	0	0	Client ID:			

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a Depository Account in my /our names as per the following details:

HOLDER'S DETAILS												
Sole/First Holder's Name		PAN										
		UID										
Second Holder's Name		PAN										
		UID										
Third Holder's Name		PAN										
		UID										

Name *	
* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the 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)												
Status	Sub-Status											
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual HUF/AOP <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Minor (Below 18 years) <input type="checkbox"/> Individual Margin Trading A/c (MANTRA) <input type="checkbox"/> Others (Specify)											
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non- Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI Non Repatriable Promoter <input type="checkbox"/> NRI-Depository Receipts <input type="checkbox"/> Others (Specify)											
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National-Depository Receipts <input type="checkbox"/> Others(Specify)											
Status	Sub- status											
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Bank <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (specify)												
SEBI Registration No. (If Applicable)		SEBI Registration date	D	D	M	M	Y	Y	Y	Y		
RBI Registration No. (If Applicable)		RBI Approval date	D	D	M	M	Y	Y	Y	Y		
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> others (Specify)											

(To be filled by individual only)

Details of Guardian (in case the account holder is minor) Guardian's Name		PAN	
Relationship with the applicant			

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 instruction from my/our end (if not marked, the default option 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 &Electronic (Tick the applicable box. If not marked the default option would be in physical)	

Do you wish to receive dividend / interest directly in to your 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
---	--

**Clearing Member Details (To be filled by CMs only)**

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

**Bank Details [Dividend Bank Details]**

Bank Code (9 digit MICR code)										
IFS Code (11 character)										
Account number										
Account type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others (specify)									
Bank Name										
Branch Name										
Bank Branch Address										
City		State		Country		PIN code				

**Kindly provide:**

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
- (ii) Photocopy of the Bank Statement having name and address of the BO, (or)
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank

☐ In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

**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 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> More than 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	
	<b>Networth (Amount)</b>	<b>Rs.</b>
	<b>Net Worth as on (Date)</b>	____ / ____ / ____
	<b>(Net worth should not be older than 1 year)</b>	
<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"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> House wife <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 Politically Exposed Person (RPEP)	
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either <input type="checkbox"/> Politically Exposed Person (PEP) or <input type="checkbox"/> Related to Politically Exposed Person (RPEP). Please provide details as per Annexure 2.2A.		

	First / Sole Holder/ Authorized Signatory	Second Holder / Authorized Signatory	Third Holder / Authorized Signatory
Name			
Signature of Client / Authorized Signatory	✓	✓	✓
Designation (For Non-Individuals)			

(In case of more authorized signatories, please add annexure) (Signatures should be preferably in black ink).

## NOMINATION DETAILS FOR TRADING AND DEMAT ACCOUNT

(To be filled for Individual accounts only)

Nomination Details	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.  
(Strike out what is not applicable) (Signatures of all account holders should be obtained on this form)

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

Nomination Details	Nominee 1	Nominee 2	Nominee 3
<b>Nominee Name :</b>			
<b>First Name</b>	.....	.....	.....
<b>Middle Name</b>	.....	.....	.....
<b>Last Name</b>	.....	.....	.....
<b>Address of Nominee</b>			
<b>City</b>			
<b>Pin Code</b>			
<b>State</b>			
<b>Country</b>			
<b>Telephone/Mobile No.</b>			
<b>PAN No</b>			
<b>UID (Aadhar No.)</b>			
<b>Email ID :</b>			
<b>Relationship with BO</b>			
<b>Date of Birth (Mandatory if Nominee is a minor)</b>			
<b>Name of the Guardian of Nominee (if nominee is minor)</b>			
<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>Country</b>			
<b>Pin Code</b>			
<b>Age (Date of Birth)</b>			
<b>Telephone / Mobile No.</b>			
<b>Email ID</b>			
<b>Relationship of the Guardian with the Nominee</b>			
<b>Percentage of allocation of Securities</b>			
<b>Residual Securities (Please tick any one nominee)</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

<b>Name of Witness</b>	<b>Address of Witness</b>	<b>Signature of Witness</b>

	First Sole / Holder	Second Holder	Third Holder
<b>Name</b>			
<b>Signature</b>	✓	✓	✓

## **Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories**

### **General Clause**

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars / Notifications /Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate Demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

### **Beneficial Owner information**

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the Demat account or furnished to the DP from time to time.

### **Fees/Charges/Tariff**

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of Demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

### **Dematerialization**

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

### **Separate Accounts**

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in Demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

### **Transfer of Securities**

11. The DP shall effect transfer to and from the Demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his Demat account and the DP shall act according to such instructions.

### **Statement of account**

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the Demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of Demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of Demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of Demat account in the electronic mode, then the Participant shall be obliged to forward the statement of Demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

### **Manner of Closure of Demat account**

17. The DP shall have the right to close the Demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her Demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their Demat account should be transferred to another Demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

✓

Signature of Client (with stamp/seal)

18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of Demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

#### **Default in payment of charges**

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the Demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

#### **Liability of the Depository**

21. As per Section 16 of Depositories Act, 1996,

a) Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.

b) Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

#### **Freezing/ Defreezing of accounts**

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her Demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

#### **Redressal of Investor grievance**

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

#### **Authorized representative**

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

#### **Law and Jurisdiction**

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the Demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI

30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.

31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

I/We have received and read the Right and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye laws 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 changes(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.

✓

Signature of Client (with stamp/seal)

Depository Participant Seal and 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 and for all credits as well.]**

**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 Marathon Futurx, A-Wing, 25th floor, NM Joshi Marg, Lower Parel, Mumbai 400013 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. "Alerts" 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 accountholders 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 depository in the prescribed manner any change in mobile number, or 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 timeliness 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 not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting 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 [complaints@cdslindia.com](mailto:complaints@cdslindia.com). 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 sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

**Liability and Indemnity:**

The Depository shall not be liable for any breach of confidentiality by the service provider or by 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 BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

**Governing Law and Jurisdiction:**

Providing the Service 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 provider such information pertaining to account/transactions in my/our account as is 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 pay 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 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).

BO ID

1	2	0	9	5	8	0	0									
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

First / Sole Holder / Authorized Signatory Name : \_\_\_\_\_ Signature : ✓

Second / Sole Holder / Authorized Signatory Name: \_\_\_\_\_ Signature : ✓

Third / Sole Holder / Authorized Signatory Name : \_\_\_\_\_ Signature : ✓

(Please write only the mobile number without prefixing country code or zero)

Mobile Number on which message are to be sent: 

+91									
-----	--	--	--	--	--	--	--	--	--

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

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

(Please write only ONE valid email ID on which communication; if any, is to be sent)

<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure - 2.4</b>	MOBILE No.: +91 _____ [(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) <div style="float: right;"> <input type="checkbox"/> YES   <input type="checkbox"/> NO </div>										
Transactions Using Secured Texting Facility (TRUST) Refer to Terms and Conditions Annexure-2.6	I wish to avail the TRUST facility the mobile number registered for SMS alert Facility. I have read and understood the Terms & Conditions prescribed by CDSL for the same. <input type="checkbox"/> YES  <input type="checkbox"/> NO  I wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" data-bbox="488 645 1238 763"> <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)									
Easi	To register for easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.										

	First / Sole Holder/ Authorized Signatory	Second Holder / Authorized Signatory	Third Holder / Authorized Signatory
Name			
Signature of Client / Authorized Signatory	✓	✓	✓
Designation (For Non-Individuals)			



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

### **1. 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 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 provide 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 message 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 to ensure that the mobile number for 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. CDSL-DP Operating Instructions-September 2013 page 2 of 2

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 affected 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 times 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:-

- There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
- 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.
- There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

Annexure – 2.2A

Details of Politically Exposed Persons (PEP)/ Related to Politically Exposed Person (RPEP). [For Non-Individuals]

Name of Client : \_\_\_\_\_ PAN of the Client: \_\_\_\_\_

S	Name of the Authorized Signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors	Relation with the holder (i.e. Promoters, Whole-Time Directors etc	Please tick the relevant option
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP

Name & Signature of the Authorized Signatories Date \_\_\_\_/\_\_\_\_/\_\_\_\_

**PEP:** Politically Exposed Person

**RPEP:** Related to politically Exposed Person

	First / Sole Holder/ Authorized Signatory	Second Holder / Authorized Signatory	Third Holder / Authorized Signatory
Name			
Signature of Client / Authorized Signatory	✓	✓	✓
Designation (For Non-Individuals)			

**Common Registration Form for availing SMS Alert and /or TRUST facility for registering Clearing Members on whose behalf the securities can be transferred from the account of BO on the basis of SMS under TRUST facility**

To,

**Gyandeep Stocks Private Limited,  
E-164, Neeelkanth Apartment, 2nd Floor,  
Ramesh Marg, C-Scheme, Jaipur-302001**

Dear Sir/Madam,

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below subject to the terms and conditions as specified by CDSL

- a. SMART-SMS alert facility
- b. TRUST- Transaction using Secured Texting Facility

(please note that SMS alert facility is mandatory if TRUST facility is opted for)

BO ID	1	2	0	9	5	8	0	0								
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(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Name of First Authorized Signatory : \_\_\_\_\_

Name of Second Authorized Signatory : \_\_\_\_\_

Name of Third Authorized Signatory : \_\_\_\_\_

I/We wish to register the following clearing members / IDs under my/our below mentioned BO ID registered for TRUST

Sl. No.	Stock Exchange Name /ID	Clearing Member Name	Clearing Member ID (optional)

(Please write only the mobile number without prefixing country code or zero)

Mobile Number on which messages are to be sent: 

+91										
-----	--	--	--	--	--	--	--	--	--	--

(Existing users registered for SMS alerts: Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also)

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

E-mail ID: \_\_\_\_\_  
(Please write only ONE valid email ID on which communication; if any, is to be sent)

I/We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purpose of availing the said facility.

I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies and agree to abide by them and any amendments thereto made by the depository from time to time. I/We further undertake to pay fee/charges as may be levied by the depository from time to time.

	First Authorized Signatory	Second Authorized Signatory	Third Authorized Signatory
Name			
Signature of Client / Authorized Signatory	✓	✓	✓
Designation (For Non-Individuals)			

### Tariff/Charges for Depository Services

Sl. No.	Item	Charges for Individuals & HUF	Charges for Non-Individuals (Except HUF)	BSDA1 (Holding value up to 50000)	BSDA2 (Holding Value between 50001 to 200000)
1.	<u>Maintenance Charges:</u> For 1 Year (Annually) For 5 Years For 10 Years	Rs. 220 p.a. <input type="text"/> Rs. 600 <input type="text"/> Rs. 1000 <input type="text"/>	Rs. 900 p.a. <input type="text"/>	NIL <input type="text"/>	Rs. 100 p.a. <input type="text"/>
2.	Purchase (on Market)	NIL	NIL	NIL	NIL
3.	Sales (Market & Off-Market)	0.03% on value (Min Rs. 12 & Max Rs. 30 per ISIN)	0.03% on value (Min Rs. 12 per ISIN)	Rs. 40 or 0.04% on value whichever is higher	Rs. 40 or 0.04% on value whichever is higher
5.	Dematerialization	Rs. 3 per certificate + Rs. 50 Postage	Rs. 3 per certificate + Rs. 50 Postage	Rs. 3 per certificate + Rs. 50 Postage	Rs. 3 per certificate + Rs. 50 Postage
7.	First Delivery Instruction Slip Book (DIS)	NIL	NIL	NIL	NIL
8.	Additional Delivery Instruction Book Charges	Rs. 25 per book of 20 leaves	Rs. 25 per book of 20 leaves	Rs. 35 per book of 20 leaves	Rs. 35 per book of 20 leaves
9.	Instruction Failure Charges	Rs. 20	Rs. 20	Rs. 20	Rs. 20
10.	Demat Rejection	Rs. 20	Rs. 20	Rs. 20	Rs. 20
11.	Rematerialization	Rs. 20 per 100 shares	Rs. 20 per 100 shares	Rs. 20 per 100 shares	Rs. 20 per 100 shares
12.	Creation/Confirmation of Pledge	0.02% of value (Min Rs. 25)	0.02% of value (Min Rs. 25)	0.02% of value (Min Rs. 25)	0.02% of value (Min Rs. 25)
13.	Pledge Closure/Confirmation of Pledge Closed	0.02% of value (Min Rs. 25)	0.02% of value (Min Rs. 25)	0.02% of value (Min Rs. 25)	0.02% of value (Min Rs. 25)
14.	Invocation of Pledge	0.02% of value (Min Rs. 25)	0.02% of value (Min Rs. 25)	0.02% of value (Min Rs. 25)	0.02% of value (Min Rs. 25)
15.	New KYC Execution / Old KYC Fetch	Rs. 45	Rs. 45	Rs. 45	Rs. 45

#### **General Clauses and other Terms & Conditions:**

- Gyandeep Stocks Pvt. Ltd. reserves the right to revise the tariff structure by giving 30 days notice.
- Value of transaction will be in accordance with the rates to be provided by CDSL.
- In case of delay in the payment of charges, the Demat account will be frozen for all operations till such time all dues are cleared subject to 30 days notice from the payment due date. Also interest will be levied on outstanding amount periodically.
- Out of pocket expenses incurred on the dispatch of securities of Dematerialization and communication charges incurred on out station calls/faxes made specifically on request of client will be charged on actual basis.
- Transaction and Holding statement will be sent digitally.
- Online client Master charges Rs.15/- per instance after initial account opening.
- Any services not quoted above will be charged separately.
- Easiest (online transaction) facility charges will be as per CDSL tariff.
- Stamp Duty as per actual will be charged for Power of Attorney (POA), if any given by client for linking with trading account for pay-in purpose.
- CGST @ 9%, SGST @ 9% (or IGST @ 18%) as applicable would be charged extra on above Tariff.
- Payments through Cheque/DD should be in favour of "Gyandeep Stocks Pvt. Ltd." payable at Jaipur.

#### **DECLARATION**

I/We hereby declare and abide myself from the above charges schedule and respective terms and conditions relating to the account.

	First / Sole Holder/ Authorized Signatory	Second Holder / Authorized Signatory	Third Holder / Authorized Signatory
Name			
Signature of Client / Authorized Signatory	✓	✓	✓
Designation (For Non-Individuals)			

**Instructions to the Applicants (BOs) for account opening:**

1. Signatures can be in English or Hindi or any of the other languages contained in the 8<sup>th</sup> Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate/Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

**SIMPLE DOs and DON'Ts**

1. Verify your transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform your DP or CDSL.
2. Intimate any change of address or change in bank account details to your DP immediately.
3. While accepting the Delivery Instruction Slip (DIS) book from your DP, ensure that your BO ID is pre-stamped on all the pages along with the serial numbers.
4. Keep your DIS book safely and do not sign or issue blank or incomplete DIS slips.
5. Strike out the empty space, if any, in the DIS, before submitting to DP.
6. For market transactions, submit the DIS ahead of the deadline time. DIS can be issued with a future execution date.
7. The Demat account has a nomination facility and it is advisable to appoint a nominee to facilitate your heirs in obtaining the securities in your Demat account, on completion of the necessary procedures.
8. To open and operate your Demat account, copy of PAN card of all account holders is to be submitted to the DP along with original PAN card, for verification.
9. Register for CDSL's SMART (SMS Alerts Related to Transactions) facility. If any unauthorized debit is noticed, the BO should immediately inform CDSL and the Main DP, in writing. An email may be sent to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com).
10. Register for CDSL's Internet based facility "easi" to monitor your Demat account yourself. Contact your DP or visit CDSL's website: [www.cdslindia.com](http://www.cdslindia.com) for details.
11. In order to receive all the credits coming to your Demat account automatically, you can give a one-time, standing instruction to your DP.
12. Before granting Power of Attorney to anyone, to operate your Demat account, carefully examine the scope and implications of powers being granted.

	First / Sole Holder/ Authorized Signatory	Second Holder / Authorized Signatory	Third Holder / Authorized Signatory
Name			
Signature of Client / Authorized Signatory	✓	✓	✓
Designation (For Non-Individuals)			

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**Central Depository Services (India) Ltd. (CDSL)**

 17<sup>th</sup> Floor, Phiroze Jeejeebhoy Towers, Dalal Street,  
Fort, Mumbai – 400 001.

Telephone: (022) 2272-3333 Fax: +91-022-2272-3199

 Website: <http://www.cdslindia.com>

*electronic access to Securities information and execution of Secured transactions (easiest)*
**Registration Form - Beneficial Owner [BO] / Clearing Member [CM]**

Name of the Beneficial Owner(s)/ Clearing Member(s)	1.	
	2.	
	3.	
<b>DPI D</b>		<b>Client I D</b>
User Name		
DP Name		
DP Address		
Email Address of the BO/CM		
Tel. No. [with STD code]		
Transfer option	Trusted A/c	Account of choice

I/We would like to register above-mentioned account for the **easiest** service. I/We hereby agree to the terms and conditions I/we have read earlier for availing the said service.

Date \_\_\_\_/\_\_\_\_/\_\_\_\_

Place \_\_\_\_\_

Signature(s)

✓	✓	✓
<b>First Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>

*(To be filled up by the DP)*

This is to certify that

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

are maintaining BO Account no. \_\_\_\_\_ with us. We have verified the signatures of the said account holders and they match with the specimen signatures as per our records.

Date \_\_\_\_/\_\_\_\_/\_\_\_\_

Place \_\_\_\_\_

Authorized Signatory &amp; Stamp of DP: \_\_\_\_\_

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## DECLARATION BY HUF

To,

Date: \_\_\_\_/\_\_\_\_/20\_\_\_\_

**Gyandeep Stocks Private Limited,  
E-164, Neeelkanth Apartment, 2<sup>nd</sup> Floor,  
Ramesh Marg, C-Scheme, Jaipur-302001**

As our HUF firm wishes to open a Trading &/or Demat Account with your company in the said name \_\_\_\_\_.

We beg to say that the first signatory to this letter i.e. \_\_\_\_\_ is the Karta of the joint family and other signatories are the co-parceners of the said family.

We further confirm that the business of the said joint family is carried on mainly by the said karta as also by the other signatories hereto in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims due to the TM/DP from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the Karta, including the share of minor co-parceners.

In view of the fact that ours is not a firm governed by the Indian partnership Act of 1952, we have not got any said firm registered under the said Act.

We hereby undertake to inform the company of the death or birth of co-parceners of any change occurring at any time in the membership of our joint family during the operation of the account.

### Name & Signatures of Co-Parceners:

S.N o.	Name	Gender	Date of Birth	Relation with Karta	Signature (Not required in case of minor)
1					✓
2					✓
3					✓
4					✓
5					✓
6					✓
7					✓
8					✓

Client Name: \_\_\_\_\_ Client Code: \_\_\_\_\_ BO ID: 12095800- \_\_\_\_\_

Karta Name: \_\_\_\_\_ Karta Signature: ✓ \_\_\_\_\_

**Common E-mail ID / Mobile No. in Family Accounts Declaration**  
(Family Means: Self, Spouse, Dependent Children, Dependent Parents & HUF only)

To,  
Gyandeep Stocks Private Limited,  
E-164, Neelkanth Apartment, 2<sup>nd</sup> Floor,  
Ramesh Marg, C-Scheme, Jaipur-302001

Date: \_\_\_\_ / \_\_\_\_ /20\_\_

- We the below mentioned entities have been / will be Trading & Investing with you in NSE/BSE/MCX and also Demat account holders / Beneficiary owners in your company.
- For the Purpose of Operations with you will be treated as family.
- In order to Facilitate Operations we are providing common E-mail ID and Mobile no. duly Authorised by all Family Members.
- We all have no objection if the same Email ID & Mobile number is used for all the accounts given here below for sending any correspondence from your side.

S. No.	Name of Family Member	Trading Code	Demat No.	Relationship	Mobile No.	E-Mail ID	Signature of Family Member
1							✓
2							✓
3							✓
4							✓
5							✓
6							✓
7							✓

	First Holder	Second Holder	Third Holder
Client Name			
Client Signature	✓	✓	✓

**Declaration for availing/not availing of Basic Services Demat account (BSDA) facility**

To,  
Gyandeep Stocks Private Limited,  
E-164, Neelkanth Apartment, 2<sup>nd</sup> Floor,  
Ramesh Marg, C-Scheme, Jaipur-302001

Date: \_\_\_\_/\_\_\_\_/20\_\_

Dear Sir/Madam,

- ☐ I/We do not wish to avail the BSDA facility for my new/existing Demat account with you.
- ☐ I / We wish to avail the BSDA facility for the new account for which we have submitted my / our account opening form.
- ☐ I / We wish to avail the BSDA facility for my / our below mentioned existing Demat account number

**DP ID: 12095800**

**CLIENT ID:** \_\_\_\_\_

	Name	PAN
<b>Sole / First Holder</b>		
<b>Second Holder</b>		
<b>Third Holder</b>		

I /We have read and understood the Securities and Exchange and Board of India' s guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines from time to time. I /We hereby declare that I / we am/ are eligible to open a depository account as a BSDA holder and undertake to comply with the requirements specified by Securities and Exchange Board of India or any such authority for such facility from time to time. I/ We also understand that in case I/We at any point of time do not meet the eligibility as a BSDA holder, my / our aforesaid account is liable to be converted to regular account without further reference to me/ us and will be levied charges as applicable to regular accounts as informed by the DP.

I, the first / sole holder also hereby declare that I do not have / propose to have any other Demat account across depositories as a first / sole holder.

✓

✓

✓

**Signature:**

\_\_\_\_\_  
(Sole / First Holder)

\_\_\_\_\_  
(Second Holder)

\_\_\_\_\_  
(Third Holder)

**Acknowledgement Receipt**

Received Declaration for availing / not availing BSDA facility:

**DP ID: 12095800**

**CLIENT ID:** \_\_\_\_\_

Name	
Address	

Date : \_\_\_\_/\_\_\_\_/20\_\_

Depository Participant Seal and Signature

**Declaration to receive / not to receive Consolidated Account Statement (CAS) statement**

To,  
**Gyandeep Stocks Private Limited,  
E-164, Neeelkanth Apartment, 2<sup>nd</sup> Floor,  
Ramesh Marg, C-Scheme, Jaipur-302001**

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

Dear Sir/Madam,

☐ I/We do not wish to receive **Consolidated Account Statement (CAS) statement** as provided by CDSL neither online nor physical for my new/existing Demat account with you.

☐ I / We wish to receive **Consolidated Account Statement (CAS) statement** as provided by CDSL in either online or physical mode for the new account for which we have submitted my/our account opening form.

☐ I / We wish to receive **Consolidated Account Statement (CAS) statement** as provided by CDSL in either online or physical mode for my/our below mentioned existing Demat account number

**DP ID: 12095800**

**CLIENT ID:** \_\_\_\_\_

	<b>Name</b>	<b>PAN</b>
<b>Sole / First Holder</b>		
<b>Second Holder</b>		
<b>Third Holder</b>		

✓

✓

✓

**Signature:**

\_\_\_\_\_  
(Sole / First Holder)

\_\_\_\_\_  
(Second Holder)

\_\_\_\_\_  
(Third Holder)

-----

**Acknowledgement Receipt**

Received Declaration to receive / not to receive Consolidated Account Statement (CAS) statement.

**DP ID: 12095800**

**CLIENT ID:** \_\_\_\_\_

Name	
Address	

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

Depository Participant Seal and Signature



**Annexure – 3**

**Trading Account Related Details**

**D. BANK ACCOUNT(S) DETAILS**

*For Individuals & Non-Individuals*

S.	Bank Name	Branch Address	Bank A/C No.	A/C Type	MICR No.	IFSC Code
1						
2						
3						

**E. DEPOSITORY ACCOUNT(S) DETAILS**

S.	DP Name	NSDL/ CDSL	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
1					
2					
3					

**F. TRADING PREFERENCES**

*\*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.*

Segments Exchanges		Capital Market	Futures & Options (F&O) / Equity Derivatives	Currency Derivatives (CDS)	Commodity Derivatives
1	NSE	✓	✓	✓	
2	BSE	✓	✓	✓	
3	MCX				✓

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

**G. PAST ACTIONS**

- Details of any action/proceedings initiated/pending/taken by SEBI/Stock Exchange/any other authority against the application/constituent or its Partners/whole time directors/authorized persons in charge of dealing in securities during the last 3 years: \_\_\_\_\_

**H. DEALINGS THROUGH OTHER MEMBERS / AUTHORIZED PERSON'S**

If client is dealing through any other Member or AP, provide the following details (in case dealing with multiple Members, provide details of all in a separate sheet containing all the information as mentioned below) :

Member's Name: \_\_\_\_\_  
Exchange's & Segments: \_\_\_\_\_  
Member's Exchange's membership number: \_\_\_\_\_  
Member's SEBI registration number: \_\_\_\_\_  
Authorized Person (AP)'s Name& Code: \_\_\_\_\_  
Concerned Member's Name with whom the AP is registered: \_\_\_\_\_  
Member's or AP's registered office address: \_\_\_\_\_  
  
Tel: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_ Website: \_\_\_\_\_  
Client Code(s): \_\_\_\_\_  
Details of disputes/dues pending from/to such Member/AP: \_\_\_\_\_

**I. ADDITIONAL DETAILS**

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN): \_\_\_\_\_  
Specify your Email id, if applicable: \_\_\_\_\_
- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): \_\_\_\_\_
- Number of years of Investment/Trading Experience: \_\_\_\_\_
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: \_\_\_\_\_

**J. INTRODUCER DETAILS (optional)**

Name of the Introducer: \_\_\_\_\_  
Status of the Introducer: Authorized Person/Existing Client/Others, please specify \_\_\_\_\_  
Address and phone no. of the Introducer: \_\_\_\_\_  
Signature of the Introducer: \_\_\_\_\_

**K. ADDITIONAL DETAILS**

Whether you wish to receive communication from Member in electronic form on your Email-id [Yes / No]: \_\_\_\_\_.

---

**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 change 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 tariff sheet and all voluntary/non-mandatory documents.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Do's and Dont's'. 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 Member's designated website, if any.

	<b>First Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
<b>Client Name</b>			
<b>Client Signature</b>	✓	✓	✓

**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 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.

.....  
**Signature of the Authorized Signatory**

Date .....

**Seal/Stamp of the Stock Broker**

**INSTRUCTIONS/ CHECK LIST**

1. Additional documents in case of trading in derivatives segments - 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.

## **RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS** *as prescribed by SEBI and Stock Exchanges*

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

### **CLIENT INFORMATION**

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

### **MARGINS**

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.

12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

## **TRANSACTIONS AND SETTLEMENTS**

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

## **BROKERAGE**

18. The Client shall pay to the stock broker brokerage 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 stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

## **LIQUIDATION AND CLOSE OUT OF POSITION**

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate

entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

## **DISPUTE RESOLUTION**

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

## **TERMINATION OF RELATIONSHIP**

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

## **ADDITIONAL RIGHTS AND OBLIGATIONS**

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.



32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

#### **ELECTRONIC CONTRACT NOTES (ECN)**

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.

41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

## **LAW AND JURISDICTION**

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

**INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO 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 data card, 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 Web Site 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 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 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 Stock broker 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 non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

## **RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS**

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

### **1. BASIC RISKS:**

#### **1.1 Risk of Higher Volatility:**

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

#### **1.2 Risk of Lower Liquidity:**

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

**1.2.1** Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.



### **1.3 Risk of Wider Spreads:**

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

### **1.4 Risk-reducing orders:**

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

**1.4.1** A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

**1.4.2** A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

**1.4.3** A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

### **1.5 Risk of News Announcements:**

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

### **1.6 Risk of Rumors:**

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

### **1.7 System Risk:**

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

**1.7.1** During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

**1.7.2** Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

### **1.8 System/Network Congestion:**

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

## **2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-**

### **2.1 Effect of "Leverage" or "Gearing":**

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of our whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional)

resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

## **2.2 Currency specific risks:**

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

## **2.3 Risk of Option holders:**

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

## **2.4 Risks of Option Writers:**

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

## **3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:**

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

## **4. GENERAL**

**4.1** The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

**4.2** The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.



## GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

### BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges [www.nseindia.com](http://www.nseindia.com), [www.bseindia.com](http://www.bseindia.com), [www.mseil.in](http://www.mseil.in) and SEBI website [www.sebi.gov.in](http://www.sebi.gov.in).
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

### TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
  - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
  - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
  - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such

settlement in the cash market.

- d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
- 14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
- 15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

#### **IN CASE OF TERMINATION OF TRADING MEMBERSHIP**

- 16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
- 17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

#### **DISPUTES/ COMPLAINTS**

- 18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
- 19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
- 20. Note that all the stock broker/sub-brokers has been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

## **POLICIES & PROCEDURES**

### **A. Policy for Penny Stock:-**

A stock that trades at a relatively low price and market capitalization. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large bid-ask spreads, small capitalization and limited following and disclosure. Depend on the market condition and RMS policy of the company; RMS reserve the right to refuse to provide the limit in Penny stocks and losses if any on account of such refusal shall be borne by client only.

### **B. Setting up client's exposure limits/Risk Management Policy:-**

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/market level limits in security specific/volume specific exposures etc.), and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems any may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/exchange/SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone. We have margin based RMS system. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin applicable for respective security as per VAR based margining system of the stock exchange and/or margin defined by RMS based on their risk perception. Client may take benefit of "credit for sale" i.e. benefit of share held as margin by selling the same by selecting Delivery option through order entry window on the trading platform, the value of share sold will be added with the value of deposit and on the basis of that client may take fresh exposure. In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

### **C. Applicable brokerage rate:-**

Brokerage will be charged within the limits prescribed by SEBI/Exchange.

The applicable brokerage rate is mentioned in the KYC and any future change in the brokerage rate will be communicated to the client.

### **D. Imposition of penalty / delayed payment charges:-**

Clients may be liable to pay late pay in/delayed payment charges for non-making payment of their payin/margin obligation on time as per the exchange requirement/schedule at the agreed rate of interest. The client agrees that the stock broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

### **E. The right to sell client's securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues:-**

Without prejudice to the stock brokers other right (Including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the clients position without giving notice to the client for non-payment of margins or other amounts including the pay in obligation, outstanding debts etc. and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/obligations. The client

shall ensure timely availability of funds/securities in form and manner at designated time and in designated bank and depository account(s), for meeting his/her/its pay in obligation of funds and securities. Any and all losses and financial charges on account of such liquidations/closing out shall be charged to & born by the client. In cases of securities lying in margin account/client beneficiary account and having corporate actions like Bonus, Stock split, Right issue etc, for margin or other purpose the benefit of shares due to received under Bonus, Stock split, Right issue etc will be given when the shares is actually received in the stock broker designated demat account. In case the payment of the margin/security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument etc, at the absolute discretion of the stock broker. Where the margin/security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin/security &/or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion. The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/securities/shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

**F. Shortages in obligations arising out of internal netting of trades:-**

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation/clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first. The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a) The Short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Payin/Payout Day. The securities delivered short are purchased from market on T+2 day and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
- b) If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T+2 day or Auction day on Exchange +10% where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
- c) In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auctioned on cum basis or where the cum basis auction payout is after the book closure/record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

**G. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client:-**

We have margin based RMS system. Client may take exposure upto the amount of margin available with us. Client may not be allowed to take position in case of non-availability/shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/non making of payment for their payin obligation/outstanding debts.

**H. Temporarily suspending or closing a client's account at the client's request:-**

On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place. On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

**I. Deregistering a client:-**



Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- i. If the action of the client are prima facie illegal/improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- ii. If there is any commencement of a legal process against the client under any law in force;
- iii. On the death/lunacy or other disability of the Client;
- iv. If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;
- v. If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;
- vi. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- vii. If the Client is in breach of any term, condition or covenant of this Agreement;
- viii. If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- ix. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- x. If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- xi. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- xii. If any covenant or warranty of the Client is incorrect or untrue in any material respect;

**J. Inactive Client account: -**

Client account will be considered as inactive if the client does not trade within the previous financial year. Calculation will be done at the beginning of the financial year and those clients who have not traded even a single time will be considered as inactive, the shares/credit ledger balance if any will be transferred to the client as per instruction of the client. The client has to make written request or personal request to the directors for reactivation of their account. Trading in Exchange is in Electronic Mode, based on VSAT, leased line, ISDN, Internet, Modem and VPN, combination of technologies and computer systems to place and route orders. I/we understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any break down in our back office/ front end system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing or not processing buy or sell Orders either in part or in full. I/We shall be fully liable and responsible for any such problem/fault.

**K. Client Acceptance of Policies and Procedures stated hereinabove:-**

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended /changed unilaterally by the broker, provided the change is informed to me/us with through any one or more means or methods. I/we agree never to challenge the same on any grounds including delayed receipt/non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read always be read along with the agreement and shall be compulsorily referred to while deciding any dispute/difference or claim between me/us and stock broker before any court of law/judicial/adjudicating authority including arbitrator/mediator etc.

(The policies described above are subject to changes and the client hereby agrees to keep himself updated of the changes from time to time).

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## LETTER OF AUTHORITY

**VOLUNTARY**

To,  
**Gyandeep Stocks Private Limited,**  
**E-164, Neelkanth Apartment, 2<sup>nd</sup> Floor,**  
**Ramesh Marg, C-Scheme, Jaipur-302001**

Date: \_\_\_\_/\_\_\_\_/20\_\_

Dear Sir,

**Sub: Letter of Authority – All Segments.**

I/We are dealing in securities with you at NSE/BSE/MCX in Cash, F&O, CDS, Commodities (Derivative) and in order to facilitate ease operations, I/We authorize you as under:

1. I/We authorize you to set off outstanding in any of our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and/or against the value of cash margin or collateral shares provided to you by us.

2. I/We hereby authorize you not to provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.

3. I/We hereby authorize you to keep all the securities which we give you in margin including the payout of securities received by us for meeting margin/ other obligation in stock exchange in whatever manner which may include pledging of shares in favor of Clearing Corporation of Stock Exchanges.

4. I/We request you to retain credit balance in any of my/our account and to use the idle funds towards our margin/future obligations at any or both the Exchanges unless I/We instruct you otherwise. I/We also authorize you to debit the necessary demat charges from time to time, for keeping the shares in your client demat beneficiary account on my/our behalf.

5. I/We request you to retain Securities in your demat account for my/our margin/future obligations at all Exchanges, unless I/We instruct you to transfer the same to my/our account.

6. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you and hereby.

7. I/We request that you may send/dispatch me/us other documents through E-mail: on my/our designated email address i.e. \_\_\_\_\_ and/or dispatch the same through ordinary/registered post, courier or through any other mode at the address provided by me/us and it shall be deemed to be effective delivery of the same to me/us.

8. I/We will completely rely on the log reports of your dispatching software as a conclusive proof of dispatch of e- mail to me/us and will not dispute the same.

9. I/We will inform you the change of my/our e-mail, if any, in future either by regd. post or through a digitally signed e-mail.

10. Trading of all Exchanges is in Electronic Mode, based on VSAT, leased line, Internet, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. We understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/ network, which may be beyond your control and may result in delay in processing or note processing buy or sell Orders either in part or in full. I/We agree that I/We shall be fully liable and responsible for any such problems/Fault.

11. I/We am/are agreeable for inter-settlement transfer of securities towards settlements.

12. I/We am/are agreeable for & authorize you to with hold funds pay-out towards all the applicable margins and debits.

13. All fines/penalties and changes levied upon you due to my acts/deeds or transactions may be recovered by you from my/our account.

Yours faithfully,

Client Signature: ✓ \_\_\_\_\_

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



## RUNNING ACCOUNT AUTHORISATION

**VOLUNTARY**

To,  
**Gyandeep Stocks Private Limited,**  
**E-164, Neeelkanth Apartment, 2<sup>nd</sup> Floor,**  
**Ramesh Marg, C-Scheme, Jaipur-302001**

Date: \_\_\_\_/\_\_\_\_/20\_\_\_\_

I/We am/are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency Derivatives segment and/or Commodity Derivatives & 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) at 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) at 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 once in every:

a) Calendar Quarter  
or

b) Calendar Month

Client Signature: ✓ \_\_\_\_\_

Client Signature: ✓ \_\_\_\_\_

or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt and except the shares lying with you in the form of margin collaterals.

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 obligations for next 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 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 by giving a notice in writing to you.

7. I/We understand that you will transfer the funds/securities lying in my/our credit within one working day of the request made if the same are lying with you or within three working days if the same are lying with the clearing member/clearing corporation.

Thanking you  
Yours faithfully,

Client Signature: ✓ \_\_\_\_\_  
Client Name: \_\_\_\_\_  
Client Code: \_\_\_\_\_

## SETTLEMENT OF FUNDS & SECURITIES

To,  
**Gyandeep Stocks Private Limited,**  
**E-164, Neeelkanth Apartment, 2<sup>nd</sup> Floor,**  
**Ramesh Marg, C-Scheme, Jaipur-302001**

Date: \_\_\_\_/\_\_\_\_/20\_\_\_\_

Dear Sir,

I am aware that the member may retain additional margin requirement of margin levied plus upto 125% of margin requirement (total 225% of margin) on the day of monthly/quarterly settlement to take care of any margin obligations arising in next 5 days for my open positions.

Also as per Exchange circular (NSE/INSP/36889, dated 2-Feb-2018), I request you may retain an amount of upto Rs. 10,000 /-while settling the account considering the administrative/operational difficulties in settling the accounts but only if I have no trades in the particular month or quarter.

And also to retain the amount being the cheque paid by me/us to member but not cleared on the date of settlement.

Thanking you,

Yours faithfully,

Client Signature:        ✓ \_\_\_\_\_

Client name:            \_\_\_\_\_

Client Code:            \_\_\_\_\_

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## PROPRIETARY TRADE DECLARATION

IN TERMS OF CIRCULAR NO.: SEB/MRD/CIR-42/2003 Dated NOVEMBER 19, 2003 issued by Security Exchange Board of India, the broker member is obliged to disclosed to its clients/Constituents whether the member is trading in his own account or not.

**Accordingly we hereby inform you that the member, its directors or its associates do invest / trade in Capital / Derivatives Segment. The same may please be noted.**

**For: Gyandeep Stocks Private Limited**

**(Authorized Signatory)**

I acknowledge receipt of your information that you do Proprietary/own trading.

Client Signature:        ✓ \_\_\_\_\_

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

**AUTHORISATION FOR ELECTRONIC CONTRACT NOTE**

**VOLUNTARY**

To,  
**Gyandeep Stocks Private Limited,  
E-164, Neeelkanth Apartment, 2<sup>nd</sup> Floor,  
Ramesh Marg, C-Scheme, Jaipur-302001**

Date: \_\_\_\_/\_\_\_\_/20\_\_

Dear Sirs,

**Sub: Mandate to issue contract notes in Digital format & other communications (Such as Daily Margin Statement, Statement of Funds & Securities, Accounts confirmations, Bills etc.) through an E-mail.**

I/we hereby agree and consent to accept the contract notes for transactions carried on by us/me on NSE/BSE/MSEI with you, in terms of the agreement entered into between us/me, in digital form. Digital contracts issued by you as per the terms and conditions specified herein shall be binding on me/us. The mandate is subject to terms and conditions mentioned herein below.

Terms and conditions for issuance of contract notes in digital form between us: -

1. Digital Contract Notes in the format as may be prescribed by the Exchange from time to time will be mailed to me/us on the E-mail address provided to you. You can also send me/us my/our margin statement in digital form with contract notes.
2. I/We undertake to check the contract notes and bring the discrepancies to your notice within 7 days of such issuance of contract notes. My/our non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any, should be sent on E-mail: [investor@gyandeepstocks.com](mailto:investor@gyandeepstocks.com).
5. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI/Exchanges from time to time.
6. It will be client's responsibility to regularly check the mailbox and keeping the storage space for new E-mail messages.
7. Any changes in the terms and conditions shall be intimated from time to time.
8. Non-receipt of bounced mail notification by the trading member shall amount to delivery of contract note at the E-mail ID of the client.
9. Any change in the E-mail ID shall be communicated by us/me through a physical letter.

**Other communications (Such as daily Margin statement, statement of Funds & Securities, Account confirmations, bills, Notices etc.)**

You can send me various documents like Daily margin statement, Statement of funds & Securities, Account confirmations, bills, notices etc., through an E-mail ID mentioned in this letter.

This instruction to issue digital contract notes & other communications are applicable with immediate effect. This instruction is several to all parties mentioned above.

My/Our E-mail ID: \_\_\_\_\_

My/Our Alternative E-mail ID: \_\_\_\_\_

Yours faithfully,

Client Signature: ✓ \_\_\_\_\_ Client Name: \_\_\_\_\_ Client Code: \_\_\_\_\_

## INTERNET TRADING LETTER

**VOLUNTARY**

**(INTERNET BASED TRADING – IBT)  
(Securities Trading Using Wireless Technology)**

To,

**Gyandeep Stocks Private Limited,  
E-164, Neeelkanth Apartment, 2<sup>nd</sup> Floor,  
Ramesh Marg, C-Scheme, Jaipur-302001**

Date: \_\_\_\_/\_\_\_\_/20\_\_\_\_

Dear Sir,

I wish to trade through Internet on Stock Exchange(s) and confirm that I am fully aware of and understand the risks associated with availing of a service of routing orders through internet including the risk of misuse and unauthorized use of my Username and or password by a third party and the risk of a person hacking into my account on your ITORS system and routing order without authorization on behalf of me through the system. I agree that I shall be fully liable and responsible for any and all unauthorized use and misuse of my Password and/or Username and also for any and all acts by any person through your ITORS system on my Username in any manner whatsoever.

I hereby confirm you to send my Username and Password on my E-mail address or on my registered mobile no.

Thanking you,

Yours Faithfully,

Client Signature:        ✓ \_\_\_\_\_

Client Name:            \_\_\_\_\_

Client Code:            \_\_\_\_\_

### BROKERAGE STRUCTURE / TARIFF SHEET

	% on Turnover	Minimum per share/contract (Rs.)	Per Lot (Rs.)	SLAB Name
Equity Intra-Day				
Equity Delivery				
Equity Futures				
Equity Options				
Currency Futures				
Currency Options				
Commodity Futures				
Commodity Options				

**OTHER CHARGES:** (All statutory charges will be levied as per applicable rates)

S.	Tax Head	Intra-Day / Delivery	NSE CM	NSE Eq Fut	NSE Eq Opt	NSE CDS Fut	NSE CDS Opt	BSE CM	BSE Eq Fut	BSE Eq Opt	BSE CDS Fut	BSE CDS Opt	MCX Fut	MCX Opt
1	Stamp Duty	a) Intraday												
		b) Delivery												
2	STT	a) Intraday (Only on selling side)												
		b) Delivery												
3	SEBI Turnover Fees													
4	Exchange Transactio n Charges	a) Intraday												
		b) Delivery												
5	Clearing Charges													
6	Exchange Clearing Charges (BSE- ICCL)													
7	Demat Charges													
8	SGST on Brok., & on points 4,5,6,7 above													
9	CGST on Brok., & points 4,5,6,7 above													
10	IGST in absence of points 8,9													

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

### Acknowledgement from Client

I/we hereby acknowledge the receipt of duly executed copy of KYC, MCA/RDD and all other documents as executed by me/us. Further I confirmed that the documents for KYC submitted by me/us are true and correct. I acknowledge that the other details related to my account are as under.

Client Signature:      ✓ \_\_\_\_\_      ✓ \_\_\_\_\_      ✓ \_\_\_\_\_  
   (First Holder)      (Second Holder)      (Third Holder)

Client Name:      \_\_\_\_\_

Client Code:      \_\_\_\_\_

BO ID:      12095800- \_\_\_\_\_

.....  
**GYANDEEP STOCKS PRIVATE LIMITED**  
**CIN:U74992RJ2004PTC018927**

### Acknowledgement from Trading Member/DP

Received duly filled & signed-stamped KYC Form from Mr./Ms./M/s. \_\_\_\_\_

along with all supported documents duly self attested on dated \_\_\_\_/\_\_\_\_/20\_\_

**For: GYANDEEP STOCKS PRIVATE LIMITED**

Signature of the Receiver  
(Stock Broker / DP)

### **Documents Required:**

#### **Documents Required for Individual Account:**

- 1) 1 PAN Card Copy
- 2) 1 Aadhar Card Copy (Address Proof)
- 3) 1 cancelled cheque
- 4) 2 photos on form with sign (Pg-3 & 7)
- 5) Demat Client Master or Latest Share Holding Statement
- 6) GST Certificate, if Registered
- 7) Do Signature wherever tick-mark sign is made on form
- 8) All supporting documents have to be self attested
- 9) Sole-Proprietorship Account will not be open & has to be opened in individual name & capacity only

#### **Documents Required for HUF Account:**

- 1) 1 PAN Card Copy of HUF & of Karta
- 2) 1 Address Proof Copy of HUF (Latest 6 months Bank Statement)
- 3) 1 Aadhar card copy of Karta (Address Proof)
- 4) 1 cancelled cheque of HUF
- 5) 1 photo of Karta on form with sign & stamp (Pg-15)
- 6) GST Certificate, if Registered
- 7) Demat Client Master or Latest Share Holding Statement of HUF & Networth
- 8) Do Signature wherever tick-mark sign is made on form (Co-Parceners to be sign on declaration)
- 9) All supporting documents have to be self attested with stamp of Karta

#### **Documents Required for Corporate Account:**

- 1) 1 PAN card copy of the Company and of all Directors & of Authorized Signatories
- 2) 1 Address Proof copy (Bank Statement of Latest 6 months) of the Company
- 3) 1 Aadhar card Copy of all Directors & of Authorized Signatories (Address Proof)
- 4) 1 cancelled cheque of the Company
- 5) 1 photo each of each Directors & Authorized Signatories on form with sign & stamp (Pg-15)
- 6) Memorandum & Articles of Association
- 7) CIN No. & list of authorized signatory & Company Master Data print-out from MCA website
- 8) Last 2 years Annual Accounts / Balance Sheet / ITR Copy of the Company
- 9) Latest Share Holding Pattern on Company Letter Head & Networth
- 10) Board Resolution on Company Letter Head
- 11) List of Authorized Signatories on the Company letter head with Photos & Sign of all
- 12) List of Directors with their sign on Company Letter Head
- 13) Form No. 32 if there is any change in Directors
- 14) Demat Client Master or Latest Share Holding Statement of Company
- 15) GST Certificate, if Registered
- 16) Do Signature & company stamp wherever tick-mark sign is made on form by Authorized Signatory as mentioned in Board of Resolution
- 17) All supporting documents of the Company have to be signed & stamp by Authorized Signatory

**Documents Required for Partnership Account:** (Please note Demat account will not be opened on the name of Partnership Firm but can be opened in the name of Min 2 & Max 3 Joint Partners only. Only Trading account can be opened in Partnership Firm name)

- 1) 1 PAN card copy of Partnership Firm & it's all Partners
- 2) 1 Address Proof of Partnership Firm and Address Proof/Aadhar card copy of all Partners
- 3) 1 cancelled cheque of Partnership Firm & Bank Statement (Latest 6 Months) & Networth
- 4) 1 photo of each Partner on form with sign & stamp (Pg-15)
- 5) Partnership Firm Agreement
- 6) Last 2 years Annual Accounts / Balance Sheet / ITR Copy of Partnership Firm
- 7) Partnership Firm Resolution (Separate for Demat & Separate for Trading) & Authorized Signatory on letter head
- 8) List of Authorized Signatories on letter head with photos & Sign of all
- 9) List of Partners on Letter Head with their Sign
- 10) Demat Client Master or Latest Share Holding Statement of any of the Authorized Partner
- 11) GST Certificate, if Registered
- 12) Do Signature & stamp wherever tick-mark sign is made on form by Authorized Signatory



- 13) All supporting documents of the Firm have to be signed & stamp by Authorized Signatory & PAN & Aadhar card of Partners have to signed by respective person without Firm stamp.
- 14) Individual KYC form (Page-3) is to be signed by each Partner (Min 2 & Max 3 Partners) separately without Firm stamp (take additional xerox of page-3)
- 15) FATCA & CRS Declaration-Individual (Page-11) is to be signed by each Partner (Min 2 & Max 3 Partners) separately without Firm stamp (take additional xerox of page-11)
- 16) CKYC Form for individuals (Page-7,8,9,10) is to be signed by each Partner (Min 2 & Max 3 Partners) separately without Firm stamp (take additional xerox of page-7,8,9,10)
- 17) All the pages of Demat account (Page-20 to 38 & POA Page-73) should be signed by all partners all together in same page (Min 2 & Max 3 Partners) without Firm stamp
- 18) All the pages of Trading account (Page-39 to 68) should be signed by authorized partner(s) as mentioned in Trading Resolution with Firm stamp.

**Documents Required for LLP Account:**

- 19) 1 PAN card copy of LLP & it's all Partners
- 20) 1 Address Proof of LLP and Aadhar card copy of all Partners
- 21) 1 cancelled cheque of LLP & Bank Statement (Latest 6 Months) & Networth
- 22) 1 photo of each Partner on form with sign & stamp (Pg-15)
- 23) LLP Agreement
- 24) Last 2 years Annual Accounts / Balance Sheet / ITR Copy of LLP
- 25) LLP Resolution & Authorized Signatory on letter head
- 26) List of Authorized Signatories on letter head with photos & Sign of all
- 27) List of Partners on Letter Head with their Sign
- 28) Demat Client Master or Latest Share Holding Statement
- 29) GST Certificate, if Registered
- 30) Do Signature & stamp wherever tick-mark sign is made on form by Authorized Signatory
- 31) All supporting documents have to be signed & stamp of LLP by Authorized Signatory

**Documents Required for Trustee Account:** (Please note Demat account can be opened in the name of Registered Trust only & cannot be opened in the name of Unregistered Trust. Demat can be opened in the name of a Trustee only in case of Unregistered Trust. Trading account can be opened in both Unregistered & Registered Trust)

- 1) 1 PAN card copy of the Trustee and of all Trustees & of Authorized Signatories
- 2) 1 Address Proof copy of the Company (Bank Statement of Latest 6 months) and Aadhar Card copy of all Trustees & of Authorized Signatories (Aadhar card) & Networth
- 3) 1 cancelled cheque of the Trustee
- 4) 1 photo of each Trustee on form with sign & stamp (Pg-15)
- 5) Last 2 years Annual Accounts / Balance Sheet / ITR Copy of the Company
- 6) Resolution/Declaration on Trustee Letter Head
- 7) List of Authorized Signatories on the Trustee letter head with Photos & Sign of Authorized Trustees
- 8) List of all Trustees with their sign on Letter Head
- 9) Demat Client Master or Latest Share Holding Statement
- 10) GST Certificate, if Registered
- 11) Do Signature & company stamp wherever tick-mark sign is made on form by Authorized Signatory
- 12) All supporting documents of the Trustee have to be signed & stamp of Trust by Authorized Signatory

**Other points to be noted:**

- 1) E-Mail ID & Mobile No. is compulsory to provide.
- 2) Whenever address proof gets expired, client is required to provide new one immediately to get update in their account.
- 3) If there is any change/update/modification/addition/deletion in any details viz Name, Surname, Address, Bank a/c, Demat No., Mobile No., Email ID, Co-Parceners, Income details, etc. do inform us immediately by filling up the format available with respective proof of it.
- 4) If the name is not printed on cancelled cheque of Client than Latest 1 month Bank Statement with name, account no., IFSC, MICR mentioned is required to be submitted.
- 5) If the Date of Incorporation in HUF PAN Card is mentioned as Ancestral then default date of incorporation we will input as 1-01-1961 as per Exchange guidelines.

**Account Details Addition / Modification / Deletion Request Form for Demat &/or Trading Account**

**Gyandeep Stocks Private Limited**  
**E-164, Neeelkanth Apartment, 2<sup>nd</sup> Floor,**  
**Ramesh Marg, C-Scheme, Jaipur- 302001**

Application No.		Date							
-----------------	--	------	--	--	--	--	--	--	--

Please fill all the details in Block Letters in English

DP ID	1	2	0	9	5	8	0	0	Client ID							
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--

NSE / BSE / MCX Client Code: \_\_\_\_\_

Account Holder's Details	
Name of First / Sole Holder	
Name of Second Holder	
Name of Third Holder	

☐ I/We request to carry out the change of correspondence/permanent address / signature in the Demat / Trading / KRA / CKYC. (Tick mark which is applicable)

I/We request you to make the following additions / modifications / deletions to my/our account in your records:

Only in Demat ☐      Only in Trading account ☐      Both in Trading & Demat ☐

DETAILS: Please specify change of Correspondence / permanent address, bank details, telephone/ mobile no., e-mail id, name/surname, sub-status etc.)	Addition / Modification / Deletion (Please specify)	Existing Details	New Details

Attach an Annexure (with signature(s)) if the space above is found insufficient.

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	✓	✓	✓

===== (Please Tear Here) =====

**Acknowledgement Receipt**

Received Account Details Addition / Modification / Deletions request as per details given below :

Application No.		Date							
DP ID	1	2	0	9	5	8	0	0	Client ID
<b>Trading Code</b>									
Name of the Sole / First Holder									
Name of Second joint Holder									
Name of Third joint Holder									
Modification requested for: [Specify reason]									

**Depository Participant Seal and Signature**

**POWER OF ATTORNEY****(VOLUNTARY)**

To all to whom these Presents shall come I/We

Name

Address

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**Whereas** I/We hold a Beneficiary account no. 12095800-\_\_\_\_\_ (BO-ID) with Central Depository Services (India) Limited, through, M/s. **Gyandeep Stocks Private Limited, E-164, Neelkanth Apartment, 2<sup>nd</sup> Floor, Ramesh Marg, C-Scheme, Jaipur-302001** bearing **DP-ID: IN-DP-687-2022 & SEBI Registration No: INZ 000001230**.

**And Whereas** I/We am/are an investor (hereinafter referred to as "the client") having unique client code as \_\_\_\_\_, engaged in buying and selling of securities through M/s. **Gyandeep Stocks Private Limited, E-164, Neelkanth Apartment, 2<sup>nd</sup> Floor, Ramesh Marg, C-Scheme, Jaipur- 302001** who is a Member of The National Stock Exchange of India Ltd. (NSE) bearing SEBI Registration No: **INZ 000001230**, Bombay Stock Exchange Limited (BSE) (Exchange Registered) and MCX & also a Depository Participant registered with CDSL bearing SEBI Registration no. IN-DP-687-2022.

**And Whereas** due to exigency and paucity of time, I/We am desirous of appointing an agent/attorney to operate the aforesaid beneficiary account on my/our 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 M/s. Gyandeep Stocks Private Limited,** as my/our true and lawful attorney (hereinafter referred to as the attorney) for me and on my behalf and in my name to do instruct the aforesaid Depository Participant:

- 1) 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 exchange toward any segment in respect of securities sold by me through them.
- 2) to return to me/us, the securities that may have been received erroneously or those securities that were not entitled to receive from me/us;
- 3) to send consolidated summary of my/our scrip-wise buy & sell positions taken with average rates to me/us by way of SMS/email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from times to time.

Also, I/We, instruct the **Gyandeep Stocks Private Limited (DP)** to pledge/re-pledge my/our securities from my/our Beneficiary Account to the CM/TM Corporate Margin Pledge Account (CMPA) of the **Gyandeep Stocks Private Limited** as mentioned herein below or such other demat account as intimated to me by time to time by **Gyandeep Stocks Private Limited** and for creating/maintaining collateral/security/margin in form of securities for margin to be used for my trade in Capital Market, Futures & Options, Currency Derivatives and Commodity Derivatives of NSE, BSE & MCX. This you may further re-pledge to clearing corporation and/or clearing member as the case may be.

The demat account details of **Gyandeep Stocks Private Limited** where shares can be transferred for above purpose are mentioned as below:

S. No.	Exchanges & Membership No.	Clearing Code	SEBI Reg. No.	Pool/Pay-In/Beneficiary Demat Account Nos.
1	National Stock Exchange of India Ltd. (NSE) [13016]	M51560	INZ 000001230	1) CDSL CM Pool (Pay-In) A/c: 2) NSDL (Eureka) CM Pool (Pay-In) A/c: CMBP ID: 3) CDSL (NSCCL) Early Pay-In A/c: 4) CDSL TM/CM CMPA A/c:
2	Bombay Stock Exchange Ltd. (BSE)	6574	INZ 000001230	1) CDSL (ICCL) Early Pay-In A/c:

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked in writing by me (without giving any advance notice to DP) and the said revocation shall be effective from the date on which the revocation notice is received at DPA office at E-164, Neelkanth Apartment, 2<sup>nd</sup> Floor, Ramesh Marg, C-Scheme, Jaipur - 302001.

In this Power of Attorney the term "Securities" shall include shares, scripts, stocks, bonds, warrents, derivatives, mutual funds units, debentures, debt & fixed return investment, insurance policies, etc. & any other form of capital or money market instruments that are issued or may be issued in future by any incorporated company/firm/institution or Government.

SIGNED AND DELIVERED BY



(Sole/First Holder)

(Second Holder)

(Third Holder)

In case of HUF,  
Sign by Co-Parceners:

- 1)
- 2)
- 3)

I Accept  
Director \_\_\_\_\_WITNESS:

Signature: ✓

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

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

**Gyandeep Stocks Private Limited,  
E-164, Neelkanth Apartment, 2<sup>nd</sup> Floor,  
Ramesh Marg, C-Scheme, Jaipur-302001**

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

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

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**Nomination Form**

**[Annexure A to SEBI circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/23 dated February 24, 2022 on Nomination for Eligible Trading and Demat Accounts – Extension of timelines and relaxations for existing account holders]**

TM / DP Name and Address										FORM FOR NOMINATION (To be filled in by individual applying singly or jointly)																			
Date	D	D	M	M	Y	Y	Y	Y	Y	UCC/DP ID	I	N							Client ID										
I/We wish to make a nomination. [As per details given below]																													
<b>Nomination Details</b>																													
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																													
Nomination can be made upto three nominees in the account.										Details of 1 <sup>st</sup> Nominee								Details of 2 <sup>nd</sup> Nominee						Details of 3 <sup>rd</sup> Nominee					
1	Name of the nominee(s) (Mr./Ms.)																												
2	Share of each Nominee		Equally <small>[If not equally, please specify percentage]</small>							%								%						%					
Any odd lot after division shall be transferred to the first nominee mentioned in the form.																													
3	Relationship With the Applicant (If Any)																												
4	Address of Nominee(s)  City / Place: State & Country:																												
			PIN Code																										
5	Mobile / Telephone No. of nominee(s) #																												
6	Email ID of nominee(s) #																												
7	Nominee Identification details # [Please tick any one of following and provide details of same]  <div> <input type="checkbox"/> Photograph &amp; Signature           <input type="checkbox"/> PAN           <input type="checkbox"/> Aadhaar           <input type="checkbox"/> Saving Bank account no.           <input type="checkbox"/> Proof of Identity           <input type="checkbox"/> Demat Account ID         </div>																												
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:																													
8	Date of Birth {in case of minor nominee(s)}																												
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}																												
10	Address of Guardian(s)																												

	City / Place: State & Country:						
		PIN Code					
11	Mobile / Telephone no. of Guardian #						
12	Email ID of Guardian #						
13	Relationship of Guardian with nominee						
14	Guardian Identification details # [Please tick any one of following and provide details of same]  Photograph & Signature PAN Aadhaar Saving Bank account no. Proof of Identit Demat Account ID						
Name(s) of holder(s)						Signature(s) of holder*	
Sole / First Holder (Mr./Ms.)							
Second Holder (Mr./Ms.)							
Third Holder (Mr./Ms.)							

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

# Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)

**Note:**

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

<b>Name and Signature of Holder(s)*</b>		
1. _____	2. _____	3. _____

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

**C. TRADING PREFERENCES**

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

Exchanges	NSE & BSE			MCX
All Segments	Cash	F&O	Currency	Commodity Derivaives

If you do not wish to trade in any of segments / Mutual Fund, please menion here

\_\_\_\_\_



**NRI Declaration for No Financial Proof**

From,

Date:

To,  
The Clearing Member

Dear Sir,

This is to inform you that I have applied to open a Custodian account with your company. The documents as required by you for KYC purpose i.e. the income financial proof viz ITR Copy &/or Networth Certificate is not available & not submitted by me as of now as I don't file ITR return in India as I don't have income in India so far. However, I am submitting my latest six months NRO Bank Account Statement duly self attested.

Further, I will submit the ITR return copy to you as soon as I start filing ITR Return in India and submit the same to you on a regular periodic basis too.

I hereby acknowledge the same.

Sign: \_\_\_\_\_

Name:

PAN No.:

## NRI DECLARATION

To,  
Account Opening Department  
Gyandeep Stocks Pvt. Ltd.  
Jaipur(India)

Date:

Dear Sir,

I, \_\_\_\_\_, (PAN : \_\_\_\_\_)  
hereby declare that whenever there is a change in my residential address, I will inform you (DP) for the same with appropriate address proof.

Also I hereby declare that I had complied with and will continue to comply with, FEMA regulations and other applicable laws.

I, hereby undertake that whenever I purchase/sell any security through my trading account with M/s. Gyandeep Stocks Pvt. Ltd., I shall report such transaction on a daily basis

Thanking you,

Yours faithfully,

(Sign)

Name:

Demat No: 12095800

## NRI TRADING ACCOUNT

### Documents Required for Individual Account:

- 1) 1 PAN Card Copy
- 2) 1 Address Proof copy of India & Abroad
- 3) Passport copy
- 4) Aadhar Card, Driving Licence, Voter ID, if having
- 5) OCI Document (if any)
- 6) Bank Statement of latest 6 months of both Indian & Foreign Bank Accounts and 1 original cancelled cheque copy of NRO account (4-5 extra cheques)
- 7) Demat Proof (Client Master List)
- 8) 2 photos on form (4 Extra)
- 9) Nominee PAN Card & Nominee Aadhar Card (Signed by nominee)
- 10) Put Signature wherever tick-mark sign is made
- 11) ITR Copy (Saraal copy) of last 2 years (to be submitted every year)
- 12) NRI Declaration Letter (Format Enclosed)
- 13) All supporting documents have to be self attested
- 14) TIN (Tax Identification Number) Number of foreign country

	<b><u>Details Required:</u></b>	
1	<b>Place of Birth or Place of Incorporation (City &amp; State)</b>	
2	<b>Income Slab</b>	
a	Below 1 lac	
b	1 to 5 lac	
c	5 to 10 lac	
d	10 to 25 lac	
e	25 lac to 1 cr	
f	Above 1 cr	
3	<b>Mobile No.</b>	
4	<b>E-Mail Id</b>	
5	<b>Nominee Name</b>	
6	<b>Relationship with Nominee</b>	
7	<b>Marital Status</b>	
8	<b>Mother's Name</b>	
9	<b>Occupation</b>	
10	<b>GST No. (if any)</b>	

- **Equity-Capital Market**
- **Futures & Options**
- **Currency Derivatives**
- **IPO / OFS**
- **Depository/Demat Services**
- **Online mobile Trading**
- **Online Back- Office**