GRD

Simplifying Investments Multiplying Money

Website : www.grdgroupz.com

CLIENT NAME.....

CLIENT CODE.....

DATE OF OPENING OF ACCOUNT .....

REGISTRATION KIT

(Trading Account Opening Form)

GRD SECURITIES LIMITED

MEMBER :

NATIONAL STOCK EXCHANGE OF INDIA LTD.
BOMBAY STOCK EXCHANGE LTD.

EQUITY | DERIVATIVE | CURRENCY | IRF | COMMODITY

DOCUMENTS CHECKLIST

INDIVIDUALS

1. Photograph
2. PAN
3. Aadhar
4. Proof of Permanent Address
5. Correspondence Address
6. Bank Proof with MICR Code (cancelled Cheque)
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. Cheque for DP AMC (as per the scheme opted)

NRI

1. Photograph
2. PAN
3. Aadhar (if available)
4. Proof of Foreign Address
5. Proof of Local Address
6. Additional Documents
   a. Passport with visa copy/PIO Card/OCI Card
   b. PIS Declaration Copy
   c. In case of Merchant Navy NRIs, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate)
7. Bank Proof with MICR Code (Cancelled Cheque)
8. Demat Proof (required if opening only a trading account)
9. Income Proof (for trading in derivatives segments)
10. Cheque for DP AMC (as per the scheme opted

HUF

1. Photograph of Karta
2. PAN -
   a. HUF b. Karta
3. Proof of Address -
   a. HUF b. Karta
4. Aadhar of Karta*
5. Deed of Declaration of HUF/List of coparceners
6. Bank Proof with MICR Code of the HUF (cancelled Cheque)
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. Cheque for DP AMC (as per the scheme opted)
10. UBO Declaration

CORPORATE

1. Photograph
   a. Whole time directors/two directors in charge of day to day operations
   b. Individual promoters holding control – either directly or indirectly
2. Proof of Address
   a. Whole time directors/two directors in charge of day to day operations
   b. Individual promoters holding control – either directly or indirectly
   c. Applicant
3. PAN –
   a. of Company
   b. Whole time directors/two directors in charge of day to day operations
   c. Individual promoters holding control – either directly or indirectly
4. Aadhar of person holding attorney to transact on company's behalf*
5. DIN Number
   a. Whole time directors/two directors in charge of day to day operations
6. Bank Proof with MICR Code (cancelled Cheque) with Bank Statement
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. Balance Sheet and Profit & Loss account with net-worth information for last two years or for applicable period.
10. Share Holding Pattern (as of last quarter or more recent)
11. Memorandum and Articles of Association and certificate of incorporation
12. Board Resolution
13. Form 32 / DIR 12 with Challan
14. List of Directors
15. Authorized signatories List
16. UBO Declaration
17. Cheque for DP AMC (as per the scheme opted)

PARTNERSHIP FIRM

1. Photograph of all the Partners
2. PAN -
   a. Partnership Firm
   b. All the Partners
3. Proof of Address -
   a. Partnership Firm
   b. All the Partners
4. Aadhaar of person holding attorney to transact on Firm's behalf*
5. Balance Sheet and Profit & Loss account for last two years or for applicable period.
6. Copy of Partnership Deed
7. Certificate of Registration (for registered Partnership Firms only)
8. Authorized Signatories list with specimen signatures
9. Bank Proof with MICR Code (cancelled Cheque)
10. Demat Proof (required if opening only a trading account)
11. Income Proof (for trading in derivatives segments)
12. UBO Declaration
13. Cheque for DP AMC (as per the scheme opted
14. Declaration as per format

LIMITED LIABILITY PARTNERSHIP (LLP)

1. Photograph of all the Partners
2. PAN -
   a. LLP b. All the Partners
3. Proof of Address -
   a. LLP b. All the Partners
4. Aadhaar of person holding attorney to transact on firm's behalf*
5. Balance Sheet and Profit & Loss account for last two years or for applicable period
6. Net-worth certificate (certified by a CA)
7. Copy of Partnership Deed
8. Certificate of Registration
9. Authorized Signatories list with specimen signatures (as per our format)
10. Bank Proof with MICR Code (cancelled Cheque)
11. Demat Proof (required if opening only a trading account)
12. Income Proof (for trading in derivatives segments)
13. UBO Declaration
14. Cheque for DP AMC (as per the scheme opted)
15. Declaration as per format

TRUST

1. Photocopy of Trust Pan Card.
2. Notarized Trust Deed.
3. Trust Resolution of Trust Pass by All Trustees.
4. Current Bank Statement of Trust for Last 6 Months Containing Name of the Name of Trust.
5. Cancelled Cheque Containing Name of the Trust.
6. Pan Card of Trustees.
7. Address Proof of Trustees (Adhar Card, Up to Date Bank Passbook, Voter ID Card, Ration card, Telephone Bill Latest and Electricity Bill Latest)
8. Tax Returns for Last 2 Yrs.
9. Balance Sheet of Trust for Last 2 Financial Years.
10. DP Proof.

FOREIGN INSTITUTIONAL INVESTORS (FIIS)

1. Photograph of all the signatories
2. PAN
   a. Bank/Institutional Investors
   b. All the Signatories
3. Proof of Address
4. Copy of the SEBI registration certificate
5. Authorized Signatories list with specimen signatures
6. Bank Proof with MICR Code (cancelled Cheque)
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. UBO Declaration
10. Cheque for DP AMC (as per the scheme opted)

GRD
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ACCOUNT OPENING KIT

I N D E X

S.No.	Name of the Document	Brief Significance of the Document	Page No
CHECK-LIST / INSTRUCTION		Document details the Check-list and instruction for filling up the KYC Form	1-5
	MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES		
1	Account Opening Form	A. CKYC form - Document captures the basic information about the constituent and an instruction/check list.	i-xiv
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	6-11
2	Rights and Obligations	Document stating the Rights & Obligations of stock broker trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	12-15
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	16-18
4	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	19-21
5	Policies and Procedures	Document describing significant policies and procedures of GRD Securities Ltd.	21-22
6	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	23

	VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER		
7	Segment & Exchanges Letter	The document deals with the authorisation for adjustment in different segment & exchanges	24
8	Running Account Letter	This document deals with an option given to client to settle his obligations towards funds and securities on a running basis & settle the same at monthly/quarterly interval at his discretion)	25
9	Disclosure of Proprietary Trading	Document disclosing about trading on proprietary account.	26
10	FATCA & CRS Declaration	Document dealing with the Foreign Account Tax Compliance Act and Common Reporting Standard declaration to comply with the Central Board of Direct Taxes (CBDT) rules.	27-29
11	Authorisation for ECS & SMS	This document deals with the clauses relating to issue of Contract Notes, daily margin statement, quarterly statement in electronic format & SMS	30
12	Declaration by HUF	The document deals with the declaration given by the Karta & All Co-parceners for the purpose of trading Securities	31
13	Board Resolution (Corporate)	The document deals with the declaration given by Corporate	32
14	Partnership Resolution	The document deals with the declaration given by Partners	33
15	AML-CFT, 2002 Statement	The document deals with other additional voluntary information to be provided by the client in relation to prevention of Money Laundering Act, 2002.)	34-36
16	PMLA Statement	The document deals with other additional voluntary information to be provided by the client in relation to prevention of Money Laundering Act, 2002.)	37

Acknowledgment for the receipt of document 38

GRD SECURITIES LIMITED

CIN: 67120WB1994PLC224302

Registered & Corporate/ Main Office	238A, A.J.C Bose Road, 6th floor, Kolkata 700020, West Bengal, India Telephone No. 033 – 40844 4444, Fax : 033 4084 4499 Email : Customercare@grdgroupz.com & info@grdgroupz.com Website : www.grdgroupz.com
SEBI Registration No.	INZ000193937
Members & ID	National Stock Exchange of India Ltd (NSE) 11866
	BSE Ltd. (BSE) 3007
	Metropolitan Stock Exchange of India Limited (MSE) 31100
	Indian Commodities Exchange of India Ltd. (ICEX) 2074
Depository Participant	Central Depository Services India Ltd (CDSL)
	National Securities Depository Ltd. (NSDL)

Depository Details	Depository	DP ID	Registration No.	Date
	CDSL	2057100	SEBI Regn. No. IN-DP CDSL-469-26	14.02.2013
	NSDL	IN303526	SEBI Regn. No. IN-DP-NSDL-292	10.05.2013

Principal Officer & CEO	**Mr. ARPIT SARAF** Tel. 033- 40844444 • Email Id: arpitsaraf@grdgroupz.com
Compliance Officer	**Mr. BISWAJIT PAL** Tel.: 033- 40844444 • Email id : biswajitpaul@grdgroupz.com

Clearing Member Details

Exchange & Segment	Clearing Member	Member Id	SEBI Registration. No
NSE - FO ,CD & IRF	Globe Capital Market Limited	CM ID -M50302, TM ID -06637	INZ000177137
BSE- FO, CD& IRF	Globe Capital Market Limited	CM ID- 3179	INZ000177137
MSE- CD& IRF	Globe Capital Market Limited	CM ID-4, TM ID -1004	INZ000177137

For any grievance / dispute please contact GRD Securities Ltd. at the above address or email id investorcomplaints@grdgroupz.com & Tel. No. 91-33-4084 4444.

In case not satisfied with the response, please contact the Our Compliance Officer of the Stock Broker (Biswajit Pal) Email-id (biswajitpaul@grdgroupz.com) and Phone No. - 033 4084 4444/ 4425. You may also Approach CEO (Mr. Arpit Saraf) Email-id (arpitsaraf@grdgroupz.com) and Phone No. 40844444/4463. If not satisfied with the response of the Stock Broker, you may contact the concerned Stock Exchange/Depository at the following:-

Exchanges & Depository Contacts	**NATIONAL STOCK EXCHANGE OF INDIA LTD. (NSE)** Tel No : (022) 2659 8100 / 8114 • Email Id : ignse@nse.co.in
	BSE LTD. (BSE) Tel No : (022) 2272 1233 / 4 • Email Id : is@bseindia.com
	METROPOLITAN STOCK EXCHANGE OF INDIA LIMITED (MSE) Exchanges & Tel. : (022) 6731 9000 • Email : investorcomplaints@msei.com
	CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED (CDSL) Tel.: 1800-200-5533 (Toll Free) • Email Id: complaints@cdslindia.com
	NATIONAL SECURITIES DEPOSITORY LIMITED (NSDL) Tel.: 1800-222-990 (Toll Free) • Email: relations@nsdl.co.in
	SECURITIES AND EXCHANGE BOARD OF INDIA (SEBI) Tel No : (022) 26449000 • Email Id : sebi@sebi.gov.in

You may also lodge your grievances with SEBI at http://scores.gov.in. For any queries, feedback or assistance, Please contact SEBI Office on Toll Free Helpline at 1800 22 7575/18002667575

FILING OF COMPLAINTS ON SCORES:-

Easy & quick: In order to make the complaint redressal mechanism through SCORES more efficient, theaggrieved Investor can file their respective compliant as per the credentials mentioned below:-

a. Register on SCORES portal: Get yourself registered

b. Mandatory details for filing complaints on SCORES: i. Name, PAN, Address, Mobile Number, Email ID,

c. Benefits: i. Effective communication, ii. Speedy redressal of the grievances.

Please refer SCORES website link https://scores.gov.in/scores/Welcome.html) and the FAQs available thereto

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
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, 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. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
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 apostiled 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.

INSTRUCTIONS / CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgment	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.

CHECK-LIST

PROOF OF IDENTITY & SIGNATURE

- With rubber stamp by non-individual
- Unique Identification Number (UID / Aadhaar) Card
- UID / Aadhaar (with Client's Photo, Sign & Address)
- Voter's ID card (Front & Back)
- Driving License
- Bank Verification Letter - Photo / Signature attested by Bank Manager (bearing Client's Account number, Bank stamp, Branch MICR code and Attesting Authority's Name & Employee number)
- Credit Card / Debit Card issued by Scheduled Commercial Banks (with Client's Photo & Sign)
- ID Card/Document issued by - State or Central Government & its departments / Statutory Regulatory Authorities/ Public Sector Undertaking/ Scheduled Commercial Banks/ Public Financial Institutions/ Colleges affiliated to Universities / Professional Bodies like ICAI, ICWAI, ICSI, Bar Council etc. to their Members (with Client's Photo & Sign)

PROOF OF ADDRESS

- Passport (with Client's Photo, Sign & Address)
- Voter's ID card (Front & Back)
- Driving License
- Ration Card
- Flat Maintenance Bill / Insurance Copy
- Gas Bill (Bill date being not more than 3 months old)
- Electricity Bill (Bill date being not more than 3 months old)
- Landline Telephone Bill (Bill date being not more than 3 months old - Mobile Bills not accepted as proof)
- Registered Lease Agreement or Sale Agreement of Client's Residence (pages bearing Client's Name, Address along with last page with signatures evidencing the execution of agreement)
- Bank Passbook / Statement with client as first-holder in Bank Account (Not more than 3 months old - along with copy of pages containing Client's Name, Address and Last Transaction)
- Bank Verification Letter with Photo & Address attested by Bank Manager (bearing Client's Account number, Bank stamp, Branch MICR code and Attesting Authority's Name & Employee number)
- ID Card/Document issued by - State or Central Government & its departments / Statutory Regulatory Authorities/ Public Sector Undertaking/ Scheduled Commercial Banks/ Public Financial Institutions/ Colleges affiliated to Universities / Professional Bodies like ICAI, ICWAI, ICSI, Bar Council etc. to their Members (with Client's Address)
- Proof of address issued by Bank Managers of Scheduled Commercial Banks/ Co-operative Banks or Multinational Foreign Banks or a Gazetted Officer or Notary Public or Elected representatives to Legislative Assembly/ Parliament/ Documents issued by any Govt. or Statutory Authority
- Any of the above proof of Address issued in the name of Client's Spouse (Attach document evidencing relationship with applicant eg. Marriage Certificate)

PROOF OF BANK DETAILS

- Bank Passbook / Statement (Not more than 3 months old - along with copy of cancelled cheque & pages containing Client's Name, Address and Last Transaction) Mandatory document for NRI/FN Applicant
- Mandatory document for NRI/FN Applicant (bearing Client's Account number, Bank stamp, Branch IFSC & MICR code and Attesting Authority's Name & Employee number)
- Cancelled or Copy of Personalized Cheque Leaf

Note: Documents having an expiry date shall be accepted only if it is valid as on the date of submission.

CLIENT CATEGORY WISE - ADDITIONAL REQUIREMENTS

(1) Passport / PIO Card / OCI Card (2) Overseas Address Proof (3) Declaration duly signed that Client has complied with an will continue to comply with FEMA regulations and other applicable laws	**Mandatory for NRIs / Foreign Nationals**
Mariner's Declaration or Certified Copy of CDC (Continuous Discharge Certificate) along with other statutory approvals required for investment in commodities	**Mandatory for Merchant Navy NRIs**
Corporate Identification Number (CIN) is optional and in absence of Director Identification Number (DIN) for the directors, their passport should be given	**Foreign companies**

DOCUMENTARY REQUIREMENTS FOR OPENING NON-INDIVIDUAL TRADING ACCOUNTS

Types of Entity	Documents Required
HUF	* PAN Card of HUF Entity * PAN Card, Photograph & proof of Address of Karta * SelfDeclaration by Karta / Deed of Declaration of HUF giving details of family members including Co-parceners with their names, sex, date of Birth & relationship with Karta * Proof of Correspondence & Registered Office Address* * Proof of Bank Details
CORPORATE (Domestic or Foreign)	* Proof of Bank Details * Certified Copies of Memorandum/Articles of Association and Incorporation Certificate (bearing Stamp & Signature of Registrar) * Certified True Copy of Board Resolution (on company's letterhead) duly certified by Chairman / Managing Director / Director / Company Secretary, for investment in Equity Markets along with the names of the persons authorized to deal in commodity derivatives on behalf of the company * Copy of Balance Sheets for the last 2 financial years (to be submitted every year) * Copy of latest share holding pattern including list of all those holding control, Copy of latest share holding pattern including list of all those holding control, duly certified by CompanySecretary / Whole time Director / MD (to be submitted every year) * Net worth certificate details, list of Directors as on date on Company letterhead, list of Authorized signatory on company letterhead. * PAN Card Photograph Proof of Identity & Address and DIN numbers of (a) Wholetime Directors / Two Directors in charge of day to day operations (b) Individual Promoters holding control either directly or indirectly * Proof of Correspondence & Registered Office Address* * Proof of Bank Details
PARTNERSHIP FIRM	* PAN Card of Partnership Firm * Copy of the balance sheets for the last 2 financial years (to be submitted every year) * Certificate of registration (for registered partnership firms only) * Copy of partnership deed. * Copy of partnership deed. Photographs to be signed by all the Partners.

Types of Entity	Documents Required
PARTNERSHIP FIRM (Contd.)	* PAN Card, Photograph, Proof of Identity & Address of Partners. * Proof of Correspondence & Registered Office Address* Office Address* * Proof of Bank Details
TRUST	* PAN Card of the Trust * Certificate of Registration of Trust (for registered trust only) * Copy of Trust Deed * List of Trustees certified by Managing Trustees / C.A. * Certified True Copy of Resolution passed by Board of Trustees (on Trust's letterhead) duly certified by Managing Trustees, for investment in Commodity Markets along with the names of the persons authorized to deal in commodity derivatives on behalf of the Trust * Copy of Balance Sheets for the last 2 financial years (to be submitted every year) * Copy of Balance Sheets for the last 2 financial years (to be submitted every year) * Proof of Correspondence & Registered Office Address* * Proof of Bank details
SOCIETY (Registered Society)	* PAN Card of the Society * Copy of Certificate of Registration under the Societies Registration Act, 1860. * Certified List of Managing Committee members. * Certified List of Managing Committee members letterhead) duly certified by Managing Committee Members, for investment in Commodity Markets along with the names of thepersons authorized to deal in Commodity Markets along with the names of the persons authorized to deal in * True copy of Society Rules and Bye Laws Certified by the Chairman / Secretary * PAN Card, Photograph & Proof of Identity & Address of Managing Committee Members * PAN Card, Photograph & Proof of Identity & Address of Managing Committee Members* * Proof of Bank details
GOVERNMENT BODY	* Selfcertification on letterhead of the Government Body * List of authorized signatories along with their photograph and specimen signatures on the letterhead of the Government Body * Proof of Correspondence & Registered address*
GOVERNMENT BODY PARTNERSHIP (LLP)	* Registration Certificate granted by Registrar to LLP under the LLP Act, 2008 * Declaration (on LLP's letterhead) giving the details Names, Addresses and DPIN [Designated PartnerIdentification Number allotted by the Registrar for each designated partner], along with their signatures and photographs, duly signed by all designated partner/s clearly stating that within named persons, who are designated partners of the LLP, PARTNERSHIP (LLP) have been nominated as Authorized Signatories to open and operate the trading account on behalf of the LLP * PAN Card of the LLP * Proof of Correspondence & Registered Office address * Proof of Bank Details

* Proof of Address as prescribed by SEBI /NSE / BSE as per the Checklist must be submitted

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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.

For office use only
(To be filled by financial institution)

Application Type* ☐ New ☐ Update
KYC Number *(Mandatory for KYC update request)*
Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

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

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				

Date of Birth* D D – M M – Y Y Y Y

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

Citizenship* ☐ IN- Indian ☐ Others (ISO 3166 Country Code)

Residential Status* ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin

Occupation Type* ☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector) ☐ O-Others (☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student) ☐ B-Business ☐ 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*

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth* ISO 3166 Country Code of Birth*

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

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

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y
☐ B- Voter ID Card
☐ C- PAN Card
☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y
☐ 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

4. PROOF OF ADDRESS (PoA)*

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

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

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar) ☐ Voter Identity Card ☐ NREGA Job Card ☐ Others please specify ☐ Simplified Measures Account - Document Type code

Address

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

☐ 4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction **E** at the end)

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

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

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

Line 1*

Line 2

Line 3 City / Town / Village*

State* ZIP / Post Code* ISO 3166 Country Code*

☐ **5. CONTACT DETAILS** (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction **F** at the end)

Tel. (Off) – Tel. (Res) – Mobile –

FAX – Email ID

☐ **6. DETAILS OF RELATED PERSON** (In case of additional related persons, please fill 'Annexure B1') (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

Name* Prefix First Name Middle Name Last Name

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

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (**H**) at the end)

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ 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

☐ **7. REMARKS (If any)**

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

Date : D D – M M – Y Y Y Y Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date D D – M M – Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

General Instructions:

1 Fields marked with '*' are mandatory fields.
2 Tick '✓' wherever applicable.
3 Self-Certification of documents is mandatory.
4 Please fill the form in English and in BLOCK Letters.
5 Please fill all dates in DD-MM-YYYY format.
6 Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
7 KYC number of applicant is mandatory for updation of KYC details.
8 For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
9 In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

A Clarification / Guidelines on filling 'Personal Details' section

1 **Name**: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2 Either **father's name or spouse's** name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

1 **Tax identification Number (TIN):** TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

C Clarification / Guidelines on filling 'Proof of Identity [PoI]' section

1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section

1 PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section

1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
2 In case of multiple correspondence / local addresses, Please fill '**Annexure A1'**

F Clarification / Guidelines on filling 'Contact details' section

1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
2 Do not add '0' in the beginning of Mobile number.

G Clarification / Guidelines on filling 'Related Person details' section

1 Provide KYC number of related person if available.

H Clarification / Guidelines on filling 'Related Person details – Proof of Identity [PoI] of Related Person' section

1 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

Annexure A1

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

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.

For office use only
(To be filled by financial institution)

Application Type* ☐ New ☐ Update

KYC Number *(Mandatory for KYC update request)*

☐ 1. CORRESPONDENCE / LOCAL ADDRESS DETAILS (Please see instruction **E** at the end)

☐ Same as Current / Permanent / Overseas Address details

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

☐ 2. CONTACT DETAILS (All communications will be sent on provided Mobile no./ Email-ID) (Please refer instruction **F** at the end)

Tel. (Off) – Tel. (Res) – Mobile –

FAX – Email ID

3. 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]

Signature / Thumb Impression of Applicant

Date : D D – M M – Y Y Y Y Place :

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
(To be filled by financial institution)

Application Type* ☐ New ☐ Update

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

Name* Prefix | First Name | Middle Name | Last 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 DD-MM-YYYY

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence — Driving Licence Expiry Date DD-MM-YYYY

☐ 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.

Date : DD-MM-YYYY Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date DD-MM-YYYY

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity

Important Instructions:

A) Fields marked with '*' are mandatory.
B) Please fill the form in English and in BLOCK letters.
C) List of two character ISO 3166 country codes is available at the end.
D) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
E) KYC number of entity is mandatory for update application.

For office use only
(To be filled by financial institution)

Application Type* ☐ New ☐ Update
KYC Number *(Mandatory for KYC update request)*
Account Holder Type* US Reportable Other Reportable (Please refer instruction **A** at the end)
Nature of Business / Entity Constitution Type* (Please refer instruction **B** at the end)

☐ 1. ENTITY DETAILS (Please refer instruction **C** at the end)

☐ Name*
Date of Incorporation* D D – M M – Y Y Y Y
Date of Commencement of Business* D D – M M – Y Y Y Y
Place of Incorporation*
Country of Incorporation*
Country of Residence as per Tax laws*
Identification Type
Tax Identification Number (TIN)
TIN Issuing Country
PAN
Number of controlling person(s) resident outside India for tax purposes
(Please provide details of each Controlling Person resident outside India for Tax purposes separately in 'Annexure C2')

☐ 2. PROOF OF IDENTITY (PoI)* (Please refer instruction **D** at the end)

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

☐ Certificate of Incorporation / Formation
☐ Registration Certificate
☐ Resolution of Board / Managing Committee
☐ Memorandum and Article of Association / Partnership Deed / Trust Deed
☐ Officially valid document(s) in respect of person authorised to transact

☐ 3. PROOF OF ADDRESS (PoA)* *(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)* (Please see instruction **E** at the end)

3.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS*

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified
Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate
Line 1*
Line 2
Line 3
City / Town / Village*
State / U.T Code*
Pin / Post Code*
ISO 3166 Country Code*

3.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS *

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill '**Annexure A2**')

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified
Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate
Line 1*
Line 2
Line 3
City / Town / Village*
State / U.T Code*
Pin / Post Code*
ISO 3166 Country Code*

3.3 ADDRESS IN THE JURISDICTION WHERE ENTITY IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES*

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

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified
Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate
Line 1*
Line 2
Line 3
City / Town / Village*
State*
ZIP / Post Code*
ISO 3166 Country Code*

☐ 4. CONTACT DETAILS (All communications will be sent on provided Mobile no./ Email ID) (Please refer instruction **F** at the end)

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

☐ 5. DETAILS OF RELATED PERSON* (In case of additional related persons, please fill 'Annexure B2') (Please refer instruction **G** 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' and 'Name' is mandatory.
Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner
☐ Authorised Signatory ☐ Court Appointed Official ☐ Beneficiary

5.1 PERSONAL DETAILS (Please refer instruction **G.I** at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				

Date of Birth* D D – M M – Y Y Y Y Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others Nationality* ☐ IN- Indian ☐ Others (ISO 3166 Country Code ☐☐)

Residential Status* ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin

Occupation Type* ☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector)
☐ O-Others (☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student)
☐ B-Business ☐ X-Not Categorised

5.2 TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction **G.II** at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 5.2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence* ☐☐

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth* ISO 3166 Country Code of Birth* ☐☐

5.3 PROOF OF IDENTITY (PoI)* (Please refer instruction **G.III** at the end)

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

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y
☐ B- Voter ID Card
☐ C- PAN Card
☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y
☐ E- UID (Aadhaar)
☐ F- NREGA Job Card
☐ Z- Others (any document notified by the central government) Identification Number

5.4 PROOF OF ADDRESS (PoA)* *(Certified copy of <u>any one</u> of the following Proof of Address [PoA] needs to be submitted)*

5.4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction **G.IV** at the end)

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar)
☐ Voter Identity Card ☐ NREGA Job Card ☐ Others please specify

Address

Line 1*

Line 2

Line 3 City / Town / Village*

State / U.T Code* Pin / Post Code* ISO 3166 Country Code* ☐☐

☐ 6 REMARKS (If any)

7. APPLICANT 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/we am/are aware that I/we may be held liable for it.
- My/Our personal KYC details may be shared with Central KYC Registry.
- I/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

Date : D D – M M – Y Y Y Y Place :

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Self-Certified ☐ True Copies ☐ Notary **Risk Category** ☐ High ☐ Medium ☐ Low

IN PERSON VERIFICATION CARRIED OUT BY

Identity Verification ☐ Done Date D D – M M – Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

General Instructions:

1. Fields marked with '*'are mandatory.
2. Tick ' ✓' wherever applicable.
3. Please fill the form in English and in BLOCK lett ers.
4. Please fill all dates in DD-MM-YYYY format.
5. Wherever state code and country code is to be fur nished, the same should be the two-digit code as per Indian Motor Vehicle, and ISO 3166 country c ode respectively list of which is available at the end.
6. KYC number of applicant is mandatory for update a pplication.
7. For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

A Clarification / Guidelines for filling 'Account Holder' type section

US Reportable

F1- Owner-Documented FI with specified US owner(s)
F2- Passive Non-Financial Entity with substantial US owner(s)
F3- Non-Participating FFI
F4- Specified US Person
F5- Direct Reporting NFFE
XX - Not Applicable

Other Reportable

C1- Passive Non-Financial Entity with-one or more controlling person that is a Reportable Person
C2- Other Reportable Person
C3- Passive Non-Financial Entity that is a CRS Rep ortable
XX - Not Applicable

B Clarification / Guidelines for filling 'Nature of Business / Entity Constitution' type section

Entity Constitution Type:

A - Sole Proprietorship
B - Partnership Firm
C - HUF
D - Private Limited Company
E- Public Limited Company
F- Society
G- Association of Persons (AOP) / Body of Individuals (BOI)
H - Trust
I - Liquidator
J - Limited Liability Partnership
K - Artificial Juridical Person
Z - Others
X - Not Categorized

C Clarification / Guidelines for filling 'Entity Details' section

Identification Type:

T-TIN
C- Company Identification Number
G- US GIIN
E- Global Entity Identification Number (EIN)
O- Other

D Clarification / Guidelines for filling 'Proof of Identity[PoI]' section

1. One certified copy of any one of the mentioned Pr oof of Identity [PoI] needs to be submitted.

E Clarification / Guidelines for filling 'Proof of Address [PoA]' section

1. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
2. In case of multiple correspondence / local addres ses, please fill 'Annexure A2'

F Clarification / Guidelines for filling 'Contact Details' section

1. Please mention two- digit country code and 10-dig it mobile number (e.g. for Indian mobile number mention 91)
2. Do not add '0' in the beginning of Mobile number.

G Clarification / Guidelines for filling 'Related Person Details' section

I **Personal Details**

1. **Name**: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. Either **father's name or spouse's** name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

II **Resident outside India for tax purposes**

1. **Jurisdiction(s) of Residence**: It may be mentioned that since US taxes the global income of its citizen, every US citizen of whatever nationality, is also a resident for tax purpose in USA.
2. **Tax Identification Number (TIN):** TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification ("Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

III **Proof of Identity [PoI]**

1. If driving license number or passport is provided as PoI then expiry date is to be mandatorily furnished.
2. Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

IV **Proof of Address [PoA]**

1. PoA to be submitted only if the submitted PoI doe s not have an address or address as per PoI is invalid or not in force.
2. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.

H Clarification / Guidelines for filling 'Details of Controlling Person' section

I **Personal Details**

1. **Name**: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the PoI submitted failing which the application is liable to be rejected.
2. Either **father's name or spouse's** name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

II **Proof of Identity [PoI]**

1. If driving license number or passport is provided as PoI then expiry date is to be mandatorily furnished.
2. Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

III **Proof of Address [PoA]**

1. PoA to be submitted only if the submitted PoI doe s not have an address or address as per PoI is invalid or not in force.
2. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.

List of two- digit state / U.T codes as per Indian Motor Vehicle Act, 8

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	J	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	M	Other	X
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 6two- digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	M	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	M	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	M	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	F	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	F	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	F	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	M	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	T	Mauritius	M	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	M	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	F	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	M	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	M	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	T
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	T
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	T
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	T
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	T
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	T
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	T
Canada	CA	Indonesia	ID	Oman	O	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	J	Peru	PE	United States Minor Outlying Islands	U
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	K	Jersey	JE	Pitcairn	PN	Uzbekistan	U
Congo	CG	Jordan	J	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	K	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire !Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion !Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	W
Cuba	CU	Kuwait	K	Russian Federation	RU	Western Sahara	EH
Curacao !Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy !Saint Barthélemy	BL	Zambia	Z
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	Z
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	M		

Annexure A2

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity | Correspondence / Local address

Important Instructions:

A) Fields marked with '*' are mandatory.

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

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

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

E) KYC number of entity is mandatory for update application.

For office use only
(To be filled by financial institution)

Application Type* ☐ New ☐ Update

KYC Number *(Mandatory for KYC update request)*

1. PROOF OF ADDRESS (PoA)* *(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)* (Please see instruction **E** at the end)

☐ 1.1 CORRESPONDENCE / LOCAL ADDRESS DETAILS*

☐ Same as Current / Permanent / Overseas Address details

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate

Line 1*

Line 2

Line 3 City / Town / Village*

State / U.T Code* Pin / Post Code* ISO 3166 Country Code*

2 . CONTACT DETAILS (All communications will be sent on provided Mobile no./ Email ID) (Please refer instruction **F** at the end)

Tel. (Off) – Tel. (Res) – Mobile –

FAX – Email ID

3. APPLICANT 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/we am/are aware that I/we may be held liable for it.
- My/Our personal KYC details may be shared with Central KYC Registry.
- I/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

Date : D D – M M – Y Y Y Y Place :

4. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Self-Certified ☐ True Copies ☐ Notary

Risk Category ☐ High ☐ Medium ☐ Low

IN PERSON VERIFICATION CARRIED OUT BY

Identity Verification ☐ Done Date D D – M M – Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

Annexure B2

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

Important Instructions:

A) Fields marked with '*' are mandatory.
B) Please fill the form in English and in BLOCK letters.
C) List of two character ISO 3166 country codes is available at the end.
D) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
E) KYC number of entity is mandatory for update application.

For office use only (To be filled by financial institution)
Application Type* ☐ New ☐ Update
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 ☐ Update Related Person details

KYC Number of Related Person (if available*) ☐☐☐☐☐☐☐☐☐☐☐☐☐☐ If KYC number is available, only 'Related Person Type' and 'Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Authorised Signatory ☐ Court Appointed Official ☐ Beneficiary

1.1 PERSONAL DETAILS (Please refer instruction G.I at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				

Date of Birth* D D – M M – Y Y Y Y
Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others
Nationality* ☐ IN- Indian ☐ Others (ISO 3166 Country Code ☐☐)

Residential Status* ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin

Occupation Type* ☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector)
☐ O-Others (☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student)
☐ B-Business ☐ X-Not Categorised

1.2 TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction G.II at the end)

ADDITIONAL DETAILS REQUIRED* (If applicant is resident outside India for tax purposes)

ISO 3166 Country Code of Jurisdiction of Residence* ☐☐
Tax Identification Number or equivalent (If issued by jurisdiction)* ☐☐☐☐☐☐☐

Place / City of Birth* ☐☐☐☐☐☐☐☐☐☐☐☐
ISO 3166 Country Code of Birth* ☐☐

1.3 PROOF OF IDENTITY (PoI)* (Please refer instruction G.III at the end)

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

☐ A- Passport Number ☐☐☐☐☐☐☐☐ Passport Expiry Date D D – M M – Y Y Y Y
☐ B- Voter ID Card
☐ C- PAN Card
☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y
☐ E- UID (Aadhaar)
☐ F- NREGA Job Card
☐ Z- Others (any document notified by the central government) Identification Number

1.4 PROOF OF ADDRESS (PoA)* *(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)*

☐ 1.4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction G.IV at the end)

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar)
☐ Voter Identity Card ☐ NREGA Job Card ☐ Others (please specify)

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

2. APPLICANT 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/we am/are aware that I/we may be held liable for it.
- My/Our personal KYC details may be shared with Central KYC Registry.
- I/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

Date : D D – M M – Y Y Y Y Place :

3. ATTESTATION / FOR OFFICE USE ONL Y

Documents Received ☐ Self-Certified ☐ True Copies ☐ Notary

IN PERSON VERIFICATON CARRIED OUT BY

Identity Verification ☐ Done Date D D – M M – Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

Risk Category ☐ High ☐ Medium ☐ Low

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

Annexure C2

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity | Controlling Person

Important Instructions:

A) Fields marked with '*' are mandatory.
B) Please fill the form in English and in BLOCK letters.
C) List of two character ISO 3166 country codes is available at the end.
D) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
E) KYC number of entity is mandatory for update application.

For office use only
(To be filled by financial institution)

Application Type* ☐ New ☐ Update

KYC Number *(Mandatory for KYC update request)*

1. DETAILS OF CONTROLLING PERSON* (Please refer instruction **H** at the end)

☐ Addition of Controlling Person ☐ Deletion of Controlling Person ☐ Update Controlling Person details

KYC Number of Controlling Person (if available*)

Type of control*

In case of Legal Person ☐ Ownership ☐ Other Means ☐ Senior Managing Officials

In case of Trust ☐ Settlor ☐ Trustee ☐ Protector ☐ Beneficiary ☐ Other

In case of Other Legal arrangement ☐ Settlor-Equivalent ☐ Trustee-Equivalent ☐ Protector-Equivalent ☐ Beneficiary -Equivalent ☐ Other-Equivalent

1.1 PERSONAL DETAILS (Please refer instruction **H.I** at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				

Date of Birth* D D – M M – Y Y Y Y Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others Nationality* ☐ IN- Indian ☐ Others (ISO 3166 Country Code)

Residential Status* ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin

Occupation Type* ☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector)
☐ O-Others (☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student)
☐ B-Business ☐ X-Not Categorised

ISO 3166 Country Code of Jurisdiction of Residence* Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth* ISO 3166 Country Code of Birth*

1.2 PROOF OF IDENTITY (PoI)* (Please refer instruction **H.II** at the end)

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

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y
☐ B- Voter ID Card
☐ C- PAN Card
☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y
☐ E- UID (Aadhaar)
☐ F- NREGA Job Card
☐ Z- Others (any document notified by the central government) Identification Number

1.3 PROOF OF ADDRESS (PoA)* *(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)*

☐ 1.3.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction **H.III** at the end)

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar)

Address ☐ Voter Identity Card ☐ NREGA Job Card ☐ Others please specify

Line 1*

Line 2

Line 3 City / Town / Village*

State / U.T Code* Pin / Post Code* ISO 3166 Country Code*

2. CONTACT DETAILS (All communications will be sent on provided Mobile no./ Email-ID) (Please refer instruction **F** at the end)

Tel. (Off) — Tel. (Res) — Mobile —

FAX — Email ID

3. APPLICANT 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/we am/are aware that I/we may be held liable for it.
- My/Our personal KYC details may be shared with Central KYC Registry.
- I/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

Date : D D — M M — Y Y Y Y Place :

4. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Self-Certified ☐ True Copies ☐ Notary

Risk Category ☐ High ☐ Medium ☐ Low

IN PERSON VERIFICATON CARRIED OUT BY

Identity Verification ☐ Done Date D D — M M — Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

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KNOW YOUR CLIENT (KYC) APPLICATION FORM
For Individuals

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

1. **Name of the Applicant**								
2. **Father's/ Spouse Name**								
3. **Mother's Name**								
4. **a. Gender**	☐ Male ☐ Female			**b. Marital status**	☐ Single ☐ Married			
c. Date of birth	D	D	M	M	Y	Y	Y	Y
5. **a. Nationality**				**b. Status**	☐ Resident Individual ☐ Non Resident ☐ Foreign National			
6. **a. PAN**								
b. Unique Identification Number (UID)/ Aadhaar, if any								
7. **Specify the proof of Identity submitted**								

B. ADDRESS DETAILS

1. **Residence Address**							
City/town/village		Pin Code		State		Country	
2. **Contact Details**	Tel. (Off.)			Tel. (Res.)			
Mobile No.		**Fax**		**Email id**			
3. **Specify the proof of address submitted for residence address**							
4. **Permanent Address** (if different from above or overseas address, mandatory for Non-Resident Applicant):							
City/town/village		Pin Code		State		Country	
5. **Specify the proof of address submitted for permanent address**							

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 of the Applicant

Date:_____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

☐ (Originals verified) True copies of documents received
☐ (Self-Attested) Self Certified Document copies received

Signature of the Authorised Signatory_____

Date _____

Seal/Stamp of the intermediary

DETAIL OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLE TIME DIRECTORS

Particulars	1st	2nd	3rd
Name			
Designation			
PAN			
Proof of Identity submitted			
Proof of Address submitted			
DIN of whole time directors			
Aadhaar number of Promoters / Partners / Karta			
Residential Address			
Photograph	PHOTOGRAPH Please affix the recent passport size photograph and sign across it	PHOTOGRAPH Please affix the recent passport size photograph and sign across it	PHOTOGRAPH Please affix the recent passport size photograph and sign across it
Signature with Rubber Stamp			

Use additional sheet, if required.

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KNOW YOUR CLIENT (KYC) APPLICATION FORM
For Non-Individuals

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

1. **Name of the Applicant**									
2. **Date of incorporation**	D	D	M	M	Y	Y	Y	Y	
Place of incorporation									
3. **Date of commencement of business**	D	D	M	M	Y	Y	Y	Y	
4. **a. PAN**				**b. Registration No. (e.g. CIN)**					

5. **Status (please tick any one)**

☐ Private Limited Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust ☐ Charities
☐ NGO's ☐ FI ☐ FII ☐ HUF ☐ AOP ☐ Bank
☐ Government Body ☐ Non-Government Organization ☐ Defense Establishment ☐ BOI
☐ Society ☐ LLP ☐ Others (please specify) _____

B. ADDRESS DETAILS

1. **Address for correspondence**							
City/town/village		Pin Code		State		Country	
2. **Contact Details** Tel. (Off.)				Tel. (Res.)			
Mobile No.		Fax		Email id			
3. **Specify the proof of address submitted for correspondence address**							
4. **Registered Address**	(if different from above)						
City/town/village		Pin Code		State		Country	
5. **Specify the proof of address submitted for registered address**							

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.

_____

Name & Signature of the Authorised Signatory

Date: _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

☐ (Originals verified) True copies of documents received
☐ (Self-Attested) Self Certified Document copies received

Signature of the Authorised Signatory _____

Date _____

Seal/Stamp of the intermediary

PAST ACTIONS

Details of any actions/proceedings initiated / pending/taken by SEBI/Exchange/any other authority against the applicant/constituent or its Partners / Promoter s/Wholetime Directors / Authorised Persons in-charge of dealing in securities/ commodities during the last 3 years **(In case of any details, please provide a separate sheet)**	

DEALINGS THROUGH AUTHORISED PERSON (AP) AND OTHER STOCK BROKERS

If Client is dealing through the AP, provide the following details :

AP's Name			
SEBI Regn. Number			
Registered Office Address			
Phone		Fax	
Website		E-mail	

WHETHER DEALING WITH ANY OTHER STOCK BROKER / AP (IN CASE DEALING WITH MULTIPLE STOCK BROKER / AP, PROVIDE DETAILS OF ALL)

Stock Broker's Name			
AP's Name, if any			
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker/AP of other Brokers			

ADDITIONAL DETAILS

Whether you wish to receive physical contract notes/Documents or electronic contract notes (ECN)/Documents, please select	☐ Physical	☐ Electronic
If Electronic, please specify your E-mail ID		
Whether you wish to avail of the facility of Internet Trading / wireless technology, please tick	☐ Yes	☐ No
Number of years of Investment / Trading Experience		
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorised to deal in securities on behalf of company / firm / others : Fill in Annexure A		

INTRODUCER DETAILS

Introducer's Name	First Name	Middle Name	Surname
Introducer's Address			
PAN, if any			
Introducer's Status	☐ Authorised Person	☐ Existing Client	☐ Other (pls. specify)_____
Signature		Phone No.	

Attach Photocopy of Passport / Voter ID / PAN Card / Driving Licence of the Introducer.

BANK DETAILS (Mandatory)

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	Primary	Secondary, if any
Bank Account Type	☐ Savings ☐ Current ☐ Others, in case of NRI, NRE/NRO (Plz specify)	☐ Savings ☐ Current ☐ Others, in case of NRI, NRE/NRO (Plz specify)
Bank Account No.		
Bank Name		
Branch Address		
MICR Code		
IFSC Code		
UPI ID		
Proof Provided	☐ Yes ☐ No	☐ Yes ☐ No

DP DETAILS

Sr.#	Particulars	Primary DP Details	Secondary DP Details
1	DP	☐ NSDL ☐ CDSL	☐ NSDL ☐ CDSL
2	DP Name		
3	DP ID	Provide Proof	Provide Proof
4	Beneficiary Name		
5	BO/Client ID	Provide Proof	Provide Proof

TRADING PREFERENCE

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

	Cash Market (CM)	Future & Option (F&O)	Currency Derivatives (CD)
National Stock Exchange of India (NSE)	✍ ☐	✍ ☐	✍ ☐
Bombay Stock Exchange Ltd. (BSE)	✍ ☐	✍ ☐	✍ ☐
Metropolitan Stock Exchange of India Limited (MSEI)	✍ ☐	✍ ☐	✍ ☐
	Date D D M M Y Y Y Y	Date D D M M Y Y Y Y	Date D D M M Y Y Y Y

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.

OTHER DETAILS

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For Individual

Gross Annual Income Details (please specify) Income Range per annum

☐ Below Rs 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ >25 Lacs **or**

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

Occupation (please tick any one and give brief details)

☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist
☐ Retired ☐ Housewife ☐ Student ☐ Others_____

Please tick, if applicable ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

For Non- Individual

Gross Annual Income Details (please specify) (Income Range per annum)

☐ Below Rs 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25Lacs-1Crore ☐ >1Crore

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

Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors:

See Annexure A

DIN/UID of Promoters/Partners/Karta and whole time directors

See Annexure A

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

Any other information:	

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.

For **GRD Securities Ltd.**

Client's Signature _____

Date .....

Signature of the Authorised Signatory

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

	Documents verified with Originals	**In-Person Verification done by**
Name of the Employee		
Designation of the employee		
Date		
Signature		

GRD
Simplifying Investments Multiplying Money

NOMINATION FORM
(FOR INDIVIDUAL APPLYING SINGLY OR JOINTLY)

Details of TM :
GRD SECURITIES LIMITED
238A, A.J.C Bose Road, 6th floor, Kolkata 700020

Date	D	D	M	M	Y	Y	Y	Y	UCC	Client Code:

I/We wish to make a nomination. [*As per details given below*]

Nomination Details

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 1st Nominee**	**Details of 2nd Nominee**	**Details of 3rd Nominee**
1	**Name of the nominee(s) (Mr./Ms.)**				
2	**Share of each Nominee**	Equally [If not equally, please specify percentage]			
			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] ☐ Photograph & Signature ☐ PAN ☐ Proof of Identity ☐ Aadhaar Saving Bank account no.		Affix recent passport size Photograph Signature / Thumb Impression	Affix recent passport size Photograph Signature / Thumb Impression	Affix recent passport size Photograph Signature / Thumb Impression

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)**			

NOMINATION Details

	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 ☐ Proof of Identity ☐ Aadhaar ☐ Saving Bank account no.	Affix recent passport size Photograph Signature / Thumb Impression	Affix recent passport size Photograph Signature / Thumb Impression	Affix recent passport size Photograph Signature / Thumb Impression

	Name(s) of holder(s)	Signature	Witness
Sole / First Holder (Mr./Ms.)			**Signature:** _____
Second Holder (Mr./Ms.)			**Name:** _____
Third Holder (Mr./Ms.)			**Address:** _____

* Signature of witness, if the account holder affixes thumb impression, instead of signature

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)

Declaration Form for opting out of Nomination

Details of TM / DP : To **GRD SECURITIES LIMITED** 238A, A.J.C Bose Road 6th floor, Kolkata 700020	Date	D	D	M	M	Y	Y	Y	Y
UCC									
DP ID									
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account,which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

Name and Signature of Holder(s)*

1._____ 2._____ 3._____

Name:

Witness

Signature: _____

Name: _____

Address: _____

_____

* Signature of witness, if the account holder affixes thumb impression, instead of signature

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the NSE/BSE/MSEI as defined in the Rules, Byelaws and Regulations of NSE/BSE/MSEI/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 NSE/BSE//MSEI/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 NSE/BSE/MSEI 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 NSE/BSE/MSEI where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the NSE/BSE/MSEI 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 NSE/BSE//MSEI 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 NSE/BSE/MSEI 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 NSE/BSE/MSEI 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 NSE/BSE/MSEI 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-tamper able 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 / NSE/BSE/MSEI 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/NSE/BSE/MSEI. 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/NSE/BSE/MSEI.
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/NSE/BSE/MSEI 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 NSE/BSE/MSEI 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 NSE/BSE/MSEI, 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 NSE/BSE/MSEI, 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 NSE/BSE//MSEI/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of NSE/BSE//MSEI/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 NSE/BSE//MSEI/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 NSE/BSE//MSEI 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 NSE/BSE//MSEI 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/NSE/BSE//MSEI 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 NSE/BSE//MSEI/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 NSE/BSE//MSEI/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/NSE/BSE/MSEI.

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the NSE/BSE/MSEI. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the NSE/BSE/MSEI.

NSE/BSE/MSEI/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 NSE/BSE/MSEI/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 NSE/BSE/MSEI and suffer adverse consequences or loss, you shall be solely responsible for the same and NSE/BSE/MSEI/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 NSE/BSE/MSEI.

It must be clearly understood by you that your dealings on NSE/BSE/MSEI 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 NSE/BSE/MSEI, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by NSE/BSE/MSEI or its Clearing Corporation and in force from time to time.

NSE/BSE/MSEI 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 NSE/BSE/MSEI 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 NSE/BSE/MSEI. 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 or 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 NSE/BSE/MSEI www.exchange.com and SEBI website 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/NSE/BSE/MSEI.
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 NSE/BSE/MCX-SX/USE' 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 NSE/BSE/MSEI.
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 NSE/BSE/MSEI 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 NSE/BSE/MSEI.

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 NSE/BSE/MSEI.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; NSE/BSE/MSEI 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 NSE/BSE/MSEI 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 NSE/BSE/MSEI 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 NSE/BSE/MSEI.
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 have 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 (MANDATORY)

A) Refusal of Orders for penny stocks :

Penny stocks are thinly traded shares of small companies which are traded infrequently and having very low volume. It may be difficult to buy/sell Penny stocks. Penny stocks include the shares which form part of list of illiquid securities, given by stock exchanges from time to time. GRD would generally advice its clients to desist from trading in item.

For Dealing in penny stock following procedures is being followed:

1. Authorization of the Senior Officer is to be taken if any client wants to invest in penny stocks.
2. The valid reason of the client to trade in penny stock is taken.
3. The financial position, background of the client is reviewed.

The order of a client shall be refused by the Member when it appears that

1. If the dealing amounts to manipulation of the price of the security.
2. If the dealing creates false or misleading appearance of trading in the securities market.
3. If the dealing in the security is not intended to effect transfer of beneficial ownership but intended to operate only as a device to inflate, depress or cause fluctuations in the price of the penny stock for wrongful gain or avoidance of loss.

B) Setting up client's exposure limits :

At the time of entering into agreement with the clients and branches we require them to agree to abide by the exposure limits set by us from time to time subject to the availability of funds in their accounts. Client exposure is settled on the basis of financial soundness(such as high, medium or low net worth client) and turnover position of the client. We follow the trading limit given by the Exchange for intra-day trading based on the base minimum and additional capital.

There are two types of exposures :

1. **Gross Exposure**:- Gross Exposure is calculated considering clients open positions and pending positions. On every order entry Gross Exposure is increased and on trade confirmation Gross Exposure is decreased.
2. **Net Exposure**.:- When a trade confirmation is received then Clients Net Exposure is calculated based on the amount, which is traded.Net Exposure is increased on Trade Confirmation but if a Square off order gets traded then Net Exposure is decreased.

F&O Margin- Intraday 5 times and carry forward 1 time.

We have approved list of scrips for leverage with scrip wise risk management system. For all the scrip not mentioned in the list, exposure would be 1 time for intraday as well as delievery.

C) Applicable Brokerage Rate :

The Brokerage Rate applicable to the clients vary from client to client depending on the category of the client i.e. HNI, Institutional, low, medium and high risk client. At the time of induction of a new client, the financial stability of the client is assessed/ measured and the expected volume is also determined and the brokerage is fixed with the mutual consent of the client. However the brokerage rate charged from the clients does not exceed the maximumbrokerage specified by the Exchange. If any mismatch in brokerage rate is found with agreed rate, the same can be brought to our notice.

D) Imposition of penalty/delayed payment charges : As per Annexure A

Any amount which is overdue from the client towards trading either in the cash or derivative segments is charged with delayed payment charges at a particular rate of interest for a specified period of time.

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

a) Even after regular reminders, if client fails to make the payment of the margin money or pay-in amount, then we would square off his/her/their position and before taking such action in this direction, we telephonically/ vide e.mail explain all the details to the client about our proposed action in this regard.

b) Principally, company follows the practice of giving reasonable opportunity of being heard and gives a verbal show cause notice to such clients. Thereafter, if company finds after giving reasonable time that the client has failed to pay the money due from hime, we square off their position. However, in exceptional cases, like in case of those clients with whom company has a long term bonding and there is reassurance from the concerned client that they will make the payment in due course of time, in such circumstances, company may consider allowing them to continue with their positions. Further, this shall be limited to the extent of settlement / margin obligations.

F) Shortages in obligations arising out of internal netting of trades :

If there are shortages due to internal netting of client positions, the position of both the clients would be squared off by taking exchange auction price for that particular securities for that particular settlement, and if the same was not available, then the previous day closing price may be considered for the same or the ransaction will be closed out at 10% above the market rate or the closing rate of the security from trade date to T+2 day i.e. the auction day, whichever is higher

G) Conditions under which a client may nor be allowed to take further position or the broker may close the existing position of a client :

A client is not allowed to take further position or the existing position of a client is closed on the following conditions:

1. If the ledger of a client shows continuous debit balances.
2. If the margin deposited by the client is not according to the exposure of the client.
3. If the dues are not settled by the client.
4. If the exchange is not allowing any further position in that scrip.
5. If broker's limit of taking exposure in that particular scrip comes to an end.

H) Temporarily suspending or closing a client's account at the client's request :

The account of the client shall be suspended/ closed on receipt of written request from the client specifying the reasons to close the account. If the reasons given are justified then the account of that client is suspended after effecting the settlement of the account. For accounts suspended on client's request, the same can be reactivated only after receiving a written request from the client.

I) <u>Deregistration of a client:</u>

Without prejudice to GRD's rights and remedies available under the Agreement, GRD may forthwith as its sole and absolute discretion, de-register the client with/without prior notice / intimation in the following circumstances:

- Where the client indulges in any irregular trading activities like synchronized trading, price manipulation. trading in illiquid securities/options/contracts, self trades, trading in securities at prices significantly away from market prices etc.,
- Any enquiry/investigation is initiated by the Exchange/ regulators against the client.
- Any regulatory action taken /initiated against the client by the Exchange /regulators including but not limited to debarring the client from accessing the capital market.
- Where the name of the client apparently resembles with the name appearing in the list of debarred entities published by SEBI/Exchanges (where no information other than name is available)
- Name of the client appears in database /websites of CBIL, Watch Out Investors, World Check etc.,
- The client having suspicious background or link with suspicious organization
- Where the client is non- traceable, has pending disputes with GRD, possibility of a default by the client.,
- Any other circumstances leading to a breach of confidence in the client for reasons like return of undelivered couriers citing reason of " No such person/ Addressee left / Refusal to accept mails, etc.," continuous cheque bouncing, or not furnishing the financial and other details as may be called for by GRD from time to time etc.,
- Upon receipt of written information about the death of the client
- Such other circumstances which in the sole opinion of GRD warrants to de-register the client. In all such cases, GRD shall have the right to close out the existing open positions /contracts sell/'liquidate the margin (in any form) to recover its dues, if any before de-registering the client. Any action taken by GRD in terms of this policy shall not be challenged by the client, and GRD shall not be liable to the client for any loss or damage (actual/ notional), which may be caused the client as a result. . Also while de-registering the client, GRD may retain certain amount / securities due/belonging to the client for meeting any future loses, liability, penalties, etc arising out of the dealing of the client with GRD. In case if any securities retained by GRD is sold / liquidated to recover any such losses, liability, penalties etc GRD shall have the sole authority to decide the mode, manner and the price at which to effect the sale of securities and the client cannot raise any dispute as to the mode, manner and the price at which securities are sold by GRD. In any of the above circumstances, if the client is able to justify his/her/its innocence either by producing any record, document or otherwise to the full satisfaction of GRD, GRD may reconsider its decision of de-registering the client. However in no circumstances any action taken by GRD till the date of registration shall be challenged by the client and GRD shall not be liable to the client for any loss or damage (actual/ notional), which may be caused to the client as a result.
- All Clients who have not executed a single trade for last 12 months shall be treated as Dormant and the same shall be made active only upon submission of specific request for the same.

j. Policy for Dormant/Inactive Account:

When no transactions have taken place in client account during the last 12 (twelve) months from the date of last transaction, it will be considered as dormant/in-active account. Any surplus funds or securities of the Dormant/Inactive Account shall be refunded/ returned to clients immediately on demand by the clients. A client account will be re-activated only on the receipt of the request letter from the client for the reactivation of his/her/their account along with necessary documentary proof in case of any change in the details registered with us and the deposit of margin by the client as per the requirement of the Company.

On the happening of the above, the account of a client is deregistered after effecting full and final settlement of the accounts and securities of the client.

POLICIES & PROCEDURES (MANDATORY)

Annexure A

Reference (page No.21) Point D: Imposition of penalty/Delayed Payment charges:

"Client to ensure that the settlement obligation, required margins (including but not limited to initial margin, peak margin, mark to market, delivery margin and/or other margins) and/or any dues payable to GRD are paid within the time stipulated by the Exchange/GRD, whichever is earlier. For the purpose of calculating required margin, there should be an adequate percentage of cash margin and non-cash margin as prescribed by the exchange from time to time. Hence the client has to maintain adequate percentage of cash margin as prescribed by the exchange. Further stock margin shall be calculated on the value of stock after appropriate haircut as per Exchange/GRD haircut, whichever is higher.

In the event the client defaults in meeting his/her/its above obligations towards GRD and maintains any debit balance/Margin shortfall /shortfall in Cash Margin in GRD's books by the stipulated time period, there shall be result in deployment of funds/securities by GRD. In such a situation GRD shall have absolute discretion to charge and recover from client's account, delayed payment charges at such rate not exceeding 24% per annum/manner/interval as may be determined by GRD from time to time for the delayed period on the deficit amount on account of any debit balance/Margin shortfall against required margin (including but not limited to mark to market, delivery margin and/or other margins) other than upfront margin / shortfall in adequate percentage of Cash Margin in Total margin requirement.

The delayed payment charges are only a penal measure to deter the client from delaying the payment. The client should not construe it as a funding arrangement. The client cannot demand continuation of service on a permanent basis citing levy of delayed payment charges".

_____

Signature of Client

TARIFF SHEET

A. BROKERAGE

	%	Min. Paisa	Min. Per Lot
1. Capital Market Segment			
Square up Brokerage			
Delivery Brokerage			
2. Futures & Options Segment			
Brokerage in Futures			
Brokerage in Options			
3. Currency Derivatives Segment			
Brokerage in Futures			
Brokerage in Options			

Transaction Charges, Stamp Duty, GST and other Taxes / charges,if any shall be levied as per the rate stipulated by concerned Authority)

I / we have understood and accepted the Schedule of charges as stated herein above.

Signature of Client

Voluntary

ADJUSTMENT IN DIFFERENT SEGMENT & EXCHANGES

To Date _____

GRD Securities Ltd.
238A, A.J.C. Bose Road,
6th Floor, Kolkata-700 020

Dear Sir,

Notwithstanding anything contrary contained in the agreement between us, I/We hereby inform you that I/We have executed/desire to execute an agreement with M/s. GRD Securities Ltd. for trading on the National Stock Exchange of India Limited (NSE), Bombay Stock Exchange Ltd. (BSE), Metropolitan Stock Exchange of India Limited (MSEI) and/of any other Exchange in cash and currency derivative segment. I/We hereby request you to treat the agreement between ourself and the agreement entered/to be entered by me/us with M/s. GRD Securities Ltd. as coextensive and hereby authorize you to transfer, make adjustments and/or to set off a part or whole of the securities placed as margin and/or any surplus funds in any of my account(s) maintained with you against the outstanding dues payable, if any, by me/us in any of my/our account(s) maintained with M/s. GRD Securities Ltd. or vice versa.

You and/or M/s. GRD Securities Ltd. shall have right of lien on the credit balance in any of may/our accounts irrespective of whether it is maintained with your M/s. GRD Securities Ltd. Any entries passed by you in accordance with this authorization shall be binding on me/us.

Thanking you,

Yours Faithfully

Signature of the Client : _____

Client Code : _____

GRD
Simplifying Investments Multiplying Money

AUTHORITY LETTER FOR SETTLEMENT OF RUNNING ACCOUNT OF FUNDS IN CM SEGMENT AND FUNDS & SECURITIES IN F&O AND CD SEGMENT

Date : _____

To
GRD Securities Ltd.
238A, A.J.C. Bose Road,
6th Floor, Kolkata-700 020

Dear Sir,

1. With reference to my/ our trading account opened with you, I /we request you to maintain a running account for funds on my/ our behalf without settling the account on settlement of each transaction. I/We further request you to retain all amounts receivable by me/us until specifically requested by me/us to be settled within one working day of request, if the same is lying with Broker.
2. I/ we understand and agree that no interest will be payable to me /us on the funds or securities so Retained With you.
3. I/ we may be trading in derivatives segment & cash segment of various Exchanges and hence have various accounts with you .In this regard I /we here by authorize Broker to act at its discretion of adjusting any credit balance under my/our various accounts against the debit in any account across segments / Exchange, without taking any further instruction from me/us.
4. I / we also confirm that the securities lying in Client collateral A/c/Collateral account for onward transfer to CC/CM should be considered as margin deposit /collateral.
5. I/we authorize you to set off a part or whole of the margin deposited by me/us. Against any of my /our dues, by appropriating relevant amount of fund or by sale of securities which for m part of margin in the Client collateral account/Collateral Account for onward transfer to CC/CM.
6. I/we here by authorize you to pledge my/our securities deposited as margin by you as permitted in the running account and to deposit my/our funds deposited as margin to Exchanges /Clearing Corporations towards margin.
7. I /we may revoke the authorization at any time by giving a written notice.
8. I/we also agree that the actual settlement of fund and securities shall be done by us, at least once in a calendar quarter or month and the statement of account for the same will be provided to me by Broker.
9. I /we agree that fund given towards collaterals/margins inform of bank guarantee (BG)/Fixed Deposit Receipts (FDR) may not be periodically settled.
10. I/we agree that (a) in respect of derivatives market transactions, the Trading Member may retain the requisite Securities /funds on settlement date to take care of any margin obligation arising in next 5days, calculated in The manner specified by the Exchange,(b) in respect of cash market transactions, the Trading Member may Retain entire pay-in obligation of funds & securities due from me/us as on the date of settlement and for next day's business, the Trading Member may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement.
11. I/ we agree/ understand that there shall be no inter-client adjustment for the purpose of settlement of the running account.
12. Apart from margin liability as on the date of settlement, in all segments, additional margins (maximum up-to 125% of margin requirement on the day of settlement), i.e.225% of the total Margin requirement after excluding the margin on consolidated crystallized obligation, where applicable
13. I/ we shall bring any dispute arising from the statement of account or settlements made to the notice of the Trading. Member preferably within 7 working days from the date of receipt of funds/securities or statement as the case may be.
14. There must be a gap of maximum 90/30 days (as per the choice of the client viz. Qtrly/Monthly) between two running account settlements.
15. I /We Authorize you to retain an amount upto Rs 10000/- (Consolidated amount across segments and across stock exchanges) for actual settlement of that respective traded quarter/month.

PREFERENCE OF CLIENT FOR SETTLEMENT OF RUNNING ACCOUNT

Settlement Preferences ☐ **Monthly** ☐ **Quarterly**

Thanking you,
Yours faithfully,

Signature of the Client

(Note : To be signed by person himself/herself and not to be signed by his/her attorney/authorised person etc.)

GENERAL INFORMATION & INSTRUCTIONS

As per SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on anti-money laundering and SEBI circular No. CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement. Ultimate Beneficiary Owner [UBO]:

A. For Investors other than individuals or trusts:

(i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
- more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company:
- more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
- more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

(ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.

(iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For Investors which is a trust:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

C. Exemption in case of listed companies/foreign investors:

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/ MIRSD/ 11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client.

UBO Code Description

•UBO-1 : Controlling ownership interest of more than 25% of shares or capital or profits of the Applicant, where the Applicant is a company • UBO-2 : Controlling ownership interest of more than 15% of the capital or profits of the Applicant, where the Applicant is a partnership • UBO-3 : Controlling ownership interest of more than 15% of the property or capital or profits of the Applicant, where the Applicant is an unincorporated association or body of individuals • UB0-4 : Natural person exercising control over the Applicant through other means i.e., exercised through voting rights, agreement, arrangements or in any other manner [In cases where there exists doubt under UBO-1 to UBO-3 above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests] • UBO-5 : Natural person who holds the position of senior managing official [In case no natural person could be identified as above] • UBO-6 The settler(s) of the trust • UBO-7 :Trustee(s) of the Trust • UBO-8 :The Protector(s) of the Trust [if applicable]. • UBO-9 :The beneficiaries with 15% or more interest in the trust if they are natural person(s) • UBO-10 : Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership.

Sub. : Disclosure of Proprietary Trading

In pursuance of the SEBI Circular No. SEBI/MRD/SE/Cir-42/2003 dated November 19, 2003, NSE Circular No. NSE/INVG/PRE/2003/16 dated November 25, 2003, BSE Notice No. 20031125-7 dated 25 November 2003, MCX-SX Circular No. MCX-SX/COMP/53/2009 dated January 27, 2009 issued with a view to increase transparency in the dealings between us as a trading member and you as a Client.

We. GRD Securities Ltd. do hereby disclose that we, apart from trading on account of our Clients, also do trading on our proprietory account.

GRD
Simplifying Investments Multiplying Money

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 19 Lac
☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ > Rs. 1 Crore

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

Occupational Detail ☐ Business ☐ Private Sector ☐ Professional ☐ Government Service
☐ Agriculture ☐ Housewife ☐ Student ☐ Forex Dealer
☐ Public Sector Retired ☐ 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 GRD Securities 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 (1)

Date

Place

For Investor convenience, GRD Securities Ltd. collecting this mandatory information for updating whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately or you can dispatch the hard copy to-

GRD SECURITIES LTD.
238A, A.J.C. Bose Road, 6th Floor, Kolkata-700 020
Tel.: (033) 30203020 • Fax: (033) 30203129

For Detail Terms & Conditions please visit www.grdgroupz.com

GRD
Simplifying Investments Multiplying Money

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.			
3.			

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 Institution or Direct Reporting NFEs)*

1	We are a Financial institution (Refer 1 of Part C) or ☐ Direct reporting NFE (Refer 3(vii) of Part (C) (please tick as appropriate) ☐	**GIIN** _____ **Note:** 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 _____
	GIIN not available (Please tick as applicable)	☐ **Applied for** ☐ Not obtained – Not-participating FI ☐ Not required to apply for - please specify 2 digit sub-category ____ (Refer 1A of Part C)

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 ☐ *(if yes, please specify any one stock exchange on which the stock is regularly traded)* Name of Stock Exchange _____
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 ☐ *(if yes, please specify any one stock exchange on which the stock is regularly traded)* Name of listed company _____ Nature of relation ☐ Subsidiary of the Listed Company or ☐ Controlled by a Listed Company Name of stock exchange _____
3	Is the Entity an active NFE (Refer 2c of Part C)	Yes ☐ Name of Business _____ Please specify the sub-category of Active NFE ____ (Mention code - refer 2c of Part C)
4	Is the Entity an active NFE (Refer 3(ii) of Part C)	Yes ☐ Name of Business _____

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

Category (Please tick applicable category): ☐ Unlisted Company ☐ Partnership Firm ☐ Limited Liability Partnership Company

☐ Unincorporated association / body of individuals ☐ Public Charitable Trust ☐ Religious Trust ☐ Private Trust

☐ Others (please specify _____)

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)

GRD
Simplifying Investments Multiplying Money

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) of Part C)			
Country of Tax residency*			
PAN#			
Address	Zip State Country	Zip State Country	Zip State Country
Address Type	☐ Residence ☐ Business ☐ Registered Office	☐ Residence ☐ Business ☐ Registered Office	☐ Residence ☐ Business ☐ Registered Office
Tax ID*			
Tax ID Type			
City of Birth			
Country of Birth			
Occupation Type	☐ Service ☐ Business ☐ Others _____	☐ Service ☐ Business ☐ Others _____	☐ Service ☐ Business ☐ Others _____
Nationality			
Father's Name			
Gender	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others
Date of Birth			
Percentage of Holding (%)$			

* To include US, where controlling person is a US citizen or green card holder
# 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.
% In case Tax Identification Number is not available, kindly provide functional equivalent
$ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

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 GRD Securities Limited 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).

Name

Designation

Sign here: (1)

Date : D D M M Y Y Y Y

Place :

For Investor convenience, **GRD Securities Limited** collecting this mandatory information for updating whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately or you can dispatch the hard copy to-

GRD SECURITIES LTD.
238A, A.J.C. Bose Road, 6th Floor, Kolkata-700 020
Tel.: (033) 30203020 • Fax: (033) 30203129

For Detail Terms & Conditions please visit www.grdgroupz.com

Electronic Contract Note [ECN] & SMS- DECLARATION (Mandatory if client opts for ECN & SMS)

To,
GRD SECURITIES LTD.
238A, A.J.C. Bose Road, 6th Floor, Kolkata-700 020 Date:_____

Dear Sir,

Email ID Authorization :

I/We _____, a client with Member, M/s. GRD Securities Ltd., member of respective Exchanges undertake as follows:

- I/We am/are aware that the Member has to provide physical contract note in respect of all the trades placed by me/us unless I/We myself/ourselves want the same in the electronic form.
- I/We am/are aware that the Member has to provide electronic contract note for my/our convenience on my/our request only.
- Though the Member is required to deliver physical contract note, I/We find that it is inconvenient for me/us to receive physical contract notes. Therefore, I/We am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me/us.
- I/We have access to a computer and am/are a regular internet user, having sufficient knowledge of handling the email operations.

I/ We hereby authorize you to electronically send me/ us my/ our Contract Notes, Daily Margin Statements, Monthly/ Quarterly Statements related to settlement of accounts, alerts, confirmations, etc. on my/our email id noted with you, i.e., _____ (same as on page 9 section G) , applicable with immediate effect.

Further:

- I/We hereby declare that the above email id belongs to ☐ Self ☐ Family
  (If family, specify the name of the person and relationship – Spouse / Dependant Parents / Dependant Children) Name (of Relative) : _____ Relation : (My)_____
- I/We am/are aware that this declaration form should be in English or in any other Indian language known to me/us.
- I/We am/are aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

Client Signature _____

The above declaration and the guidelines on ECN as envisaged by the exchange have been read and understood by me/us. I/We am/are aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

***(The email id must be written in own handwriting of the client.)**

Mobile Number Authorization:

I/ We hereby authorize you to send me/ us Trade confirmations and other commercial communication on my/ our mobile number noted with you, i.e., _____, applicable with immediate effect , even though I/We am/are registered or may register with National Do Not Call Registry. Further:

- I/We hereby declare that the above mobile number belongs to ☐ Self ☐ Family
  (If family, specify the name of the person and relationship – Spouse / Dependant Parents / Dependant Children) Name (of Relative) : _____ Relation : _(My)_____

Client Signature _____

Terms and Conditions :

Terms and Conditions for availing the facility of the Electronic Contract Notes & Daily Margin Statement are as follows :

1. The Client will ensure availability of the above mentioned e-mail ID at all times.
2. The Client shall update for any change in e-mail ID through a duly executed physical letter.
3. Electronic Contract Notes, Daily Margin Statement & Ledger will also be available on URL: www.grdgroupz.com
4. Clients can view the Electronic Contract Notes & Daily Margin Statement on URL by using the Username & Password.
5. In case of any failure in system or errors the same will be issued in physical form, which shall be binding on the client.
6. Mandate can be revoked at any time with the issuance of Physical Letter.

AUTHORITY-CUM-DECLARATION IN CASE OF HUF AND JOINT FAMILY

FORMAT

(To be obtained on Pre-Printed Letter Head of the HUF)

To
GRD SECURITIES LTD.
238A, A.J.C. Bose Road
6th Floor, Kolkata-700 020

Date:_____

As our HUF wishes to open a Trading account with your company in the name of _____
_____,
we hereby state that the first signatory to this letter, i.e. _____ is the Karta of the joint family and other signatories are adult coparceners of the said family.

We hereby authorize the said Karta to open a Trading Account with GRD Securities Limited in the name and on behalf of the HUF. He is further authorized to sign, execute and submit such applications, undertakings and other requisite documents, writings and deeds as may be deemed necessary to expedient to open such account and give effect to this purpose. GRD Securities Limited is hereby authorized to honor all instructions oral or written, given on behalf of HUF by the said Karta.

We further confirm that the business of the said Joint family is carried on mainly by the said Karta in the interest and benefit of the entire body of coparceners and members of the joint family. We all undertake that claims due to GRD Securities Limited, from the said family shall be recoverable personally from all or any of us and also from the entire family properties of which the first signatory is the Karta, including the share of minor coparceners.

In view of the fact that ours is not a firm governed by the Indian Partnership Act, 1932, we have not got our said Family registered under the said Act. We hereby undertake to inform GRD Securities Limited of the death or birth of any coparcener or any change occurring at any time in the membership of our Joint Family during the currency of the account.

List of current members of the said HUF is as under noted,

Sr.#	Name	Gender	Date of Birth	**Designation & relation with Karta (Self, Spouse, Son, Daughter, Parent)** 1. Karta 2. Coparcener 3. Adult Member 4. Minor Member	**PAN** Compulsory for Karta Coparceners & Adult Members For Minor member(s) mention their respective Date of Birth	**Politically Exposed Person (PEP) / Non-PEP**	**Signature** Compulsory for Karta, Coparceners & Adult Members For Minor members mention NA
1						☐ PEP ☐ Non-PEP	
2						☐ PEP ☐ Non-PEP	
3						☐ PEP ☐ Non-PEP	
4						☐ PEP ☐ Non-PEP	
5						☐ PEP ☐ Non-PEP	

_____
Stamped and signed by Karta of the said HUF

FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATE

(To be obtained on Pre-Printed Letter Head of the Firm)

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF M/S. ..... Ltd. AND HAVING ITS REGISTERED OFFICE AT..... HELD ON ..... DAY .....OF ....., 20..... AT.....

Resolved that the Company do agree with M/S. GRD SECURITIES LTD., Member of the National Stock Exchange of India Limited (NSE), Bombay Stock Exchange Ltd. (BSE) for the purpose of dealing on Capital Market segment, Futures and Options segment, Currency Derivative Segment or any other segment that may be introduced by NSE/BSE/GRD SECURITIES LTD. in future and the said Trading Member be and is hereby authorized to honour instructions, oral or written, given on behalf of the company by any of the under noted authorized signatories:

Sr. No.	Name	Designation
1.		
2.		
3.		

who is/are authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through GRD SECURITIES LTD on behalf of the Company.

RESOLVED FURTHER THAT Mr. ..... and/or Mr. ....., Directors and/or Mr. ..... Authorized Signatory of the Company be and are hereby authorized to sign, execute and submit such applications, undertakings agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this resolution.

AND RESOLVED FURTHER THAT, the Common Seal of the Company be affixed, wherever necessary, in the presence of any Directors or of any one director and Company Secretary, who shall sign the same in token of the presence.

For.....Ltd. Chairman / Company Secretary

Specimen Signatures of the Authorized Persons.

Sl. No.	Name	Specimen Signatures
1.	.....	
2.	.....	
3.	.....	

The above signatures to be attested by the person signing the resolution for account opening on behalf of the Company.

DECLARATION TO BE GIVEN BY CORPORATES

(To be obtained on Pre-Printed Letter Head of the Firm)

To Dated :

GRD SECURITIES LTD.

238A, A.J.C. Bose Road, 6th Floor, Kolkata-700 020

Dear Sir,

We hereby certify that the following resolution of the Board of Directors of ..... Limited was duly passed at the Board meeting held on dated ..... that

1. The company is empowered to deal in equities, derivatives, debentures, debt products and agrees to the terms of the Member as per Member Constituent Agreement.
2. The Member is hereby authorized to act on the oral or written instructions of any one or more of the following persons He/they is /are authorized to operate the account and to deal in equities, derivatives, debentures and currency derivative and to sell, purchase, transfer, endorse, negotiate documents and / or otherwise deal through GRD SECURITIES LTD. on behalf of the company ..... He/they is/are also authorized to sign, execute and submit such applications, undertakings agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose.

Signature(s) Name(s)

Signarure of Chairman / Director

AND/or

Signature of Company Secretary

(Please attach a certified true copy of the resolution)

DECLARATION TO BE GIVEN BY PARTNERSHIP

(To be obtained on Pre-Printed Letter Head of the Firm)

Dated :

To
GRD SECURITIES LTD.
238A, A.J.C. Bose Road
6th Floor, Kolkata-700 020
Dear Sir,

We refer to the trading account opened with you in the name of..... and declare and authorize you as under:

We recognize that.a beneficiary account can not be opened with a Depository Participant in the name of the partnership firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations, pursuant to the trading operations, we authorize you to recognize the beneficiary account No. ..... With Depository .....: having DP ID ..... opened as a joint account in the names of the partners of the firm.

We agree that the obligations for shares purchased and/or sold by the firm will be handled and completed through transfers to/from the above-mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

Signature	Signature	Signature

Instructions : Should be signed by all partners of the firm

AUTHORITY LETTER IN FAVOUR OF MANAGING PARTNER/(S)

(To be obtained on Pre-Printed Letter Head of the Firm)

We the partners of M/s ....., a partnership firm, having its office at .... (office address) City .....State..... hereby authorize Mr./Ms..... And Mr./Ms..... to open a securities trading account in Capital Market segment, F&O segment on behalf of the firm M/s ..... with the Trading Member M/S GRD SECURITIES LTD. for sale and purchase of shares/debentures/derivative instruments in Capital market segment (CM) and or Futures and Options segment (F&O) or any other segment that may be introduced by NSE/BSE in future. He/She/They is/are authorized on behalf of the firm to deal in equities, derivatives, debentures, the said Trading Member is hereby authorized to honour all instructions oral or written, given on behalf of the firm by him/her/them.

Mr./Ms..... and Mr./Ms..... is/are authorized to sell, purchase, transfer, endorse, negotiate documents and /or/ otherwise deal through GRD SECURITIES LTD. on behalf of the firm M/s. ..... . He/She/They is/are also authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose.

However any partner/authorized signatory(ies) can issue cheques from bank account(s) in favour of GRD SECURITIES LTD. for credit to Share trading account of the of the firm with M/s GRD SECURITIES LTD., even though his/their signatures may not be available on the records of GRD Securities Ltd. These cheques may either be from the account of partnership firm or from individual account, the said amount so. given shall be solely/ exclusively for the account of the firm maintained with GRD Securities Ltd.

Signature	Signature	Signature

Note : Please affix rubber stamp of the firm for each signature

ANTI-MONEY LAUNDERING (AML) - COMBATING FINANCING OF TERRORISM (CFT)

WHAT YOU MUST KNOW - FAQS

Help us in preventing money laundering / terrorist financing.....Your assistance really matters us.

Ever wondered why the Broker is asking you certain personal information which has hitherto never been called for? Such information can include documents evidencing source of funds/ income tax returns/ bank records etc. By providing this information to the Broker, at the time of account opening and subsequently as and when required, you are actually assisting the efforts in prevention of money la undering / terrorist financing. Here are the details, presented in the form of frequently asked questions (FAQs) to let you know how.

What is Money Laundering?

Money Laundering is the process by which criminals attempt to hide and disguise the true origin and ownership of the proceeds of their criminal activities, thereby avoiding prosecution, conviction and confiscation of the criminal funds. The term Money Laundering is also used when the funds are used for terrorist financing, though the origin of the funds may be legitimate.

Money-laundering has acquired a global character that not only threatens security, but also compromises the stability, transparency, and efficiency of financial systems. Money-laundering techniques are becoming more sophisticated and complex with each passing day.

The objective of AML & CFT Program is to prevent financial intermediaries from being used as a tool for the purpose of Money laundering & terrorist financing and to preserve the integrity of the Financial system. In response to mounting concern over money laundering, the Financial Action Task Force on money laundering (FATF) was established by the G-7 Summit in Paris in 1989 to develop a co-ordinated international response. One of the first tasks of the FATF was to develop Recommendations, 40 in all, which set out the measures national governments should take to implement effective anti-money laundering programmes.

How much money is laundered per year?

The IMF has stated in 1996 that the aggregate size of money laundering in the world could be somewhere between two and five percent of the world's gross domestic product.

Using 1996 statistics, these percentages would indicate that money laundering ranged between USD 590 billion and USD 1.5 trillion. However it must be said that overall it is absolutely impossible to produce a reliable estimate of the amount of money laundered and therefore the FATF does not publish any figures in this regard.

How is **money laundered?**

In the initial - or placement - stage of money laundering, the launderer introduces his illegal profits into the financial system. This might be done by breaking up large amounts of cash into less conspicuous smaller sums that are then deposited directly into a bank account, or by purchasing a series of monetary instruments (cheques, money orders, etc.) that are then collected and deposited into accounts at another location. After the funds have entered the financial system, the second - or layering - stage takes place. In this phase, the launderer engages in a series of conversions or movements of the funds to distance them from their source. The funds might be channelled through the purchase and sales of investment instruments, or the launderer might simply wire the funds through a series of accounts at various banks across the globe. This use of widely scattered accounts for laundering is especially prevalent in those jurisdictions that do not cooperate in anti-money laundering investigations. In some instances, the launderer might disguise the transfers as payments for goods or services, thus giving them a legitimate appearance.

Having successfully processed his criminal profits through the first two phases the launderer then moves them to the third stage - integration - in which the funds re-enter the legitimate economy. The launderer might choose to invest the funds into real estate, luxury assets, or business ventures.

Where does money laundering occur?

Money laundering can occur practically anywhere in the world. Generally, money launderers tend to seek out countries *or* sectors in which there is a low risk of detection due to weak or ineffective anti-money laundering programmes.

How does money laundering affect business, economic development & society at large?

Money laudering damages the integrity of the financial institution, entire society and undermines democracy and the rule of the law as it rewards corruption and crime.

There is a damping effect on foreign direct investment when a country's commercial and financial sectors are perceived to be subject to the control and influence of organised crime. Fighting money laundering and terrorist financing is therefore a part of creating a business friendly environment which is a precondition for lasting economic development.

The possible social and political costs of money laundering, if left unchecked or dealt with ineffectively, are serious. Organised crime can infiltrate financial institutions, acquire control of large sectors of the economy through investment, or offer bribes to public officials and indeed

governments. The economic and political influence of criminal organisations can weaken the social fabric, collective ethical standards, and ultimately the democratic institutions of society.

How does fighting money laundering help fight crime?

Targeting the money laundering aspect of criminal activity and depriving the criminal of his ill-gotten gains means hitting him where he is vulnerable. Without a usable profit, the criminal activity will not continue.

What should individual governments be doing about it?

A great deal can be done to fight money laundering, and, indeed, many governments have already established comprehensive anti-money laundering regimes. These regimes aim to increase awareness of the phenomenon - both within the government and the private business sector - and then to provide the necessary legal or regulatory tools to the authorities charged with combating the problem.

Some of these tools include making the act of money laundering a crime; giving investigative agencies the authority to trace, seize and ultimately confiscate criminally derived assets; and building the necessary framework for permitting the agencies involved to exchange information among themselves and with counterparts in other countries.

What are Local regulations on AML/CFT?

a) Prevention of Money Laundering Act,2002 (PMLA) came in to force with effect from July 01,2005 read with the prevention of Money Laundering (Amendment) Act,2009.
b) SEBI Guidelines on PMLA vide circular issued in January 2006 followed by latest Master circular issued in February 2010.
c) Exchanges have also issued Guidelines on PMLA to be followed by all registered intermediary.

How is Money Laundering defined under PMLA 2002?

Section 3 of the Prevention of Money Laundering Act (PMLA) 2002 defines the "Offence of Money Laundering" as "Whosoever directly or indirectly attempts to indulge or knowingly assists or knowingly is party or is actually involved in any process or activity connected with the **proceeds of crime** and projecting it as untainted property shall be guilty of the offence of money laundering."

"Proceeds of crime" has been defined in Section 2 of the PMLA as the property derived or obtained directly or indirectly by any person, as a result of criminal activity relating to a scheduled offence or the value of such property. **"Scheduled Offences",** as per section 2 of PMLA, are specified in two parts of the schedule to PMLA. The value involved in offences specified in Part B should be Rs.30 lakhs or more.

Why KYC/AML Policy for Market Intermediary?

SEBI has instructed all Market Intermediary to adopt a KYC/AML Policy

a) To prevent criminal elements from using the Capital Market for money laundering activities
b) To enable the Broker to know/understand the customers and their financial dealings better, which in turn would help the Broker to manage risks prudently.
c) To put in place appropriate controls for detection and reporting of suspicious activities in accordance with applicable laws/laid down procedures.
d) To comply with applicable laws and regulatory guidelines.
e) To take necessary steps to ensure that the concerned staff is adequately trained in KYC/AML procedures.

What are the obligations of Market Intermediary under PMLA 2002?

Section 12 of PML Act 2002, places certain obligations on every banking company, financial institution and market intermediary, which include:

a) Maintaining a record of prescribed transactions.
b) Furnishing information of prescribed transactions to the specified authority (Financial Intelligence Unit-India (FIU-IND).
c) Verifying and maintaining records of the identity of its clients.
d) Preserving records in respect of a,b,c above, for a period of 10 years from the date of cessation of transactions with the clients.

What is Financial Intelligence Unit-India (FIU-IND)?

FIU-IND is a central, national agency, set up by Government of India on 18th November,2004, responsible for receiving (and as permitted, requesting), analyzing and disseminating to the competent authorities, disclosures of financial information (i) Concerning suspected proceeds of crime and potential financing of terrorism, or (ii) Required by national legislation or regulation, in order to combat money laundering and terrorist financing.

What are the transactions to be reported by Market intermediary to FIU-IND?

a) All cash transactions of the value of more than Rs.10 lakhs or its equivalent in foreign currency.
b) All series of cash transactions integrally connected to each other, which have been valued below Rs.10 lakhs or its equivalent in foreign currency (excluding individual transactions below Rs.50,000/- in the reporting) where such series of transactions have taken place within a month and the aggregate value of such transactions exceeds Rs.10 lakhs.
c) Counterfeit currency transactions.
d) Suspicious transactions.

What are suspicious transactions?

Rule 2(l)(g) of PMLA-2002 defines suspicious transactions as:
A transaction whether or not made in cash which, to a person acting in good faith-
(a) gives rise to a reasonable ground of suspicion that it may involve the proceeds of crime; or
(b) appears to be made in circumstances of unusual or unjustified complexity; or
(c) appears to have no economic rationale or bonafide purpose; or
(d) gives rise to a reasonable ground of suspicion that it may involve financing of activities relating to terrorism.

Place :_____

Date :_____

Policy / Declaration on AML / CFL

Sl. No.	AML Measures	Particulars
1	AML Policy	We have in place written policy & procedure as per guidelines issued by SEBI/Exchange / FIU-IND
2	Know Your Customer (KYC) documentation.	We have in place system for identification of our clients including KYC
3	Maintenance of Records	We update the client profile on a regular basis.
4	Screening against negative lists	We have in place record maintenance and retention procedures as prescribed. We screen the client database to ensure that it is not held by or linked to anyone included in the specified list.
5	Risk Assessment	We have in place system to place clients into high, medium & low risk category and apply enhanced due diligence for clients that pose a higher risk.
6	Clients of Special Category	We have in place policv to place clients of special category such as persons with political link, non residents, Trusts, NGOs, closely held Companies, etc. in high risk category.
7	Monitoring, Identification & Reporting of Suspicious Transactions	we have in place, systems and procedures for monitoring, detection and reporting of suspicious transactions to the relevant authorities.
8	Audit	We are Subject to inspection by SEBI/Exchange. Additionally we are periodically audited by an independent internal auditor that assesses AML policies and procedures too.

Information provided by the Client in Relation to the Prevention of Money Laundering Act, 2002

Name of the Client : _____

If Business / Profession : Nature of Business : _____ Industry : _____

Details of the relatives / group company, having account with GRD :

	Name	Relationship	UCC
1.			
2.			
3.			
4.			

Details of the Corporate / Partnership Firm / Trusts etc. where Client is affiliated

	Name	Equity Type	Nature of Business	Relationship	UCC
1.					
2.					
3.					
4.					

I / We hereby submit and agree to submit every year following documents to GRD, before the due date as prescribed by GRD

1. Profit and Loss Account & Capital Account
2. Balance Sheet
3. Self attested copy of Income Tax Return (If return not available, please furnish Form 16)
4. Networth Certificate
5. Shareholding Pattern

I / We confirm that I will immediately inform GRD in case I am convinced under any grounds or any action is taken against me/us by any authority.

Do you intend to invest in the Stock market with : Own Funds Borrowed Funds

If Borrowed Funds, then please specify Sources of funds :

Sources	Amount (Rs.)

Certificated / Opinion Report from the Banker / Financial Institution confirming that there has been no default in the client's account to be attached.

I / We hereby declare that I/We am/are beneficial owner of the Trading/On-line account opened with GRD

_____ _____

Client's Name Client's Signature

This page is intentionally kept blank

Acknowledgment to GRD Securities Ltd from Client

To
GRD Securities Limited
238A, A. J. C. Bose Road, 6th floor,
Kolkata -700 020, West Bengal, India
Tel. & Fax No. 033 40844444 & 40844499
Email id: custtomercare@grdgroupz.com

Dear Sir /Madam

Sub: Acknowledge from the receipt of documents related to Trading Accounts

I/We hereby acknowledge receipt of the following documents. I /We have read and understood all the relevant clauses of aforesaid documents.

1. Risk Discloser Document (RDD) for Equity, Derivative and Currencies Segments.
2. Right & Obligation of Securities Broker/ Trading Member, and client for Trading on exchange(including additional right and obligation incase of internet/Wireless technology based Trading)
3. Guidance Note –Do's and Don'ts for Trading on the exchange (s) for investors.
4. All other mandatory and voluntary client registration documents.
5. I/We further have noted that GRD Securities Ltd. Is doing proprietary trading additional to client's Trading.
6. I/We aware of the tariff Sheet.
7. I/We hereby acknowledge the receipt of Duly Executed copy of KYC and all other documents as executed by me/us. Further I/We confirmed that the documents for the KYC submitted by me/us are true and correct.

Thanking You

Yours truly,

_____ _____

Client Signature Client Name:

(Should be signed with rubber Stamp, if applicable)

Note: The standard documents (Client Copy) are also available in Vernacular language on our : www.grdgroupz.com and can be downloaded at any point of time for reference.

INSTRUCTIONS / NOTES

1. All communication shall be sent at the address of the Sole/First Holder only.
2. Thumb impressions and signatures other than English or Hindi or any other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Signatures should be preferably in Black Ink.
4. Details of the Names, Address, Telephone Number(s) etc., of the Magistrate / Notary / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
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. Instructions related to nomination, are as below :
   - **I.** The nomination can be made only by individuals holding beneficiary owner/trading account on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. If the Demat account is held jointly, all joint holders must sign the nomination form.
   - **II.** A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
   - **III.** The Nominee(s) can not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a Power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
   - IV. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
   - **V.** Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
   - **VI.** The cancellation of nomination can be made by individuals holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of Power of Attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all holders must sign the cancellation form.
   - **VII.** On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
   - VIII. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
   - IX. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
   - X. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided.
   - XI. Savings bank account details shall only be considered if the account is maintained with the same participant.
   - XII. DP ID and Client ID shall be provided where Demat details is required to be provided.
7. Strike off whichever is not applicable
8. Clarifications with respect to Bank Proof to be submitted
   - i Photocopy or cancelled cheque having the pre-printed name of the account holder where the cheque book is issued, (or)
   - ii Photocopy of the Bank Statement for last two quarters having name and address of the client with Bank Logo or attested through respective bank.
   - iii Photocopy of the Passbook having name and address of the client, (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.
9. Provide a copy of either Demat Master or a recent holding statement issued by DP bearing name of the Client
10. **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.** Registered Authorised Person / Sub-broker are also authorised to perform 'In-person Verification'.
    - **c.** In case of non-resident clients, employees of 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.
11. **For Non Individuals:**
    - **a.** Account Opening 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.
12. **Additional documents in case of trading in Derivatives Segments - illustrative list:**

Copy of ITR Acknowledgment	In case of Salary Income - Salary Slip, Copy of Form 16
Copy of Latest Annual Accounts	Net Worth Certificate
Copy of Latest Demat Account Holding Statement	Copy of Bank Statement for last 6 months
Any other relevant documents substantiating ownership of assets	Self declaration with relevant supporting documents.

CLIENT NAME _____

CLIENT CODE _____

DATE OF OPENING OF ACCOUNT _____

CHECKED BY _____

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