



Pragya Equities Pvt. Ltd.

504, KAILAS PLAZA, 5TH FLOOR, VALLABH BAUG LANE, GHATKOPAR (E), MUMBAI - 400 077.
PHONE : 2501 7901 / 02 / 03 • FAX : 2501 7904 • Investor Grievance : pepl7545@gmail.com

DP ID	1	2	0	2	8	1	0	0	Client ID								Internal Reference No.	
Trading Code									Group						Family		Date	

The Following documents are to be submitted by applicants & should be self certified :

1. One passport size photograph signature across the Photo.
2. Clear photocopy of PAN Card for all holders are required.
3. Proof of Address (Any one) for all holders.
 - Driving Licence • Telephone Bill (Not more than 2 months)
 - Passport • Voter's ID Card
 - Bank Pass Book / Bank Statement (Statement must not be older than 4 months & must be verified by Bank Manager.
 - Valid Leave & Licence Agreement / Agreement for Sales. (Registered)
4. i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or) ii) Photocopy of the Bank Statement having name and address of the BO and not more than 4 months old, (or) iii) Photocopy of the Passbook having name and address of the BO, (or) iv) Letter from the Bank.
 - In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it should be self-certified by the BO.
5. Introduction By existing Account Holder.
6. Signature verified by Applicants Bank Officer.
7. In case Minor Nominee, photocopy of Birth Certificate require.
8. In case of HUF A/c. all above documents are required in Additional HUF PAN card & Declaration.
9. All Signatures in black ink only.
10. All KYC Documents are to be self attested.
11. Bank Proof • Photocopy of Cancelled Cheque.
 - Photocopy of Bank Pass Book or Latest statement.
12. In case of Minor Holder, Photograph of guardian has to be affixed along with minor's photograph.

- Note :**
- The applicant, in case of Individual or Authorised person, in case of others should appear in person before the designated official of DP for "in person" verification and bring the original copy of relevant documents.
 - Names of all the holders should be mentioned in the same pattern as it appears on PAN card.

CKYC No. _____

Client Code : _____

Pragya Equities Pvt. Ltd.

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PHONE : 2501 7901 / 02 / 03 • FAX : 2501 7904 • Investor Grievance : pepl7545@gmail.com

CIN No.: U51420MH1995PTC085262

GST No.: 27AAACP3249H1ZG



Member : NSE
Member ID : 12202
SEBI Regn. No. : INZ000236538 Dt. 13/03/2019
Investor Grievance: ignse@nse.co.in
Tel. No. : 2659 8190
Segment : CM / FO

Member : BSE
Member ID : 6154
SEBI Regn. No. : INZ000236538 Dt. 13/03/2019
Investor Grievance: is@bseindia.com
Tel. No. : 2272 8097
Segment : CM / FO

CEO :**Name** : Chetan G. Cholera**Tel. No.:** 2501 7901 / 02 / 03**e-mail** : pragyaequities@gmail.com**Compliance Officer :****Name** : Dhiraj A. Rana**Tel. No.:** 2501 7901 / 02 / 03**e-mail** : pragyaequities@gmail.com

For any grievance/dispute please contact stock broker at the above address, email id and Phone No. In case not satisfied with the response, please contact the concerned exchange(s) at respective investor grievance, Phone No. given above.

KNOW YOUR CLIENT (KYC) APPLICATION FORM**INDEX****MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES**

Sr. No.	Name of the Document	Brief Significance of the Document	Pg Nos.
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instructions / Check List. B. Document captures the additional information about the constituent relevant to trading account .	A-1-5 A-6-7
2	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	A-8
3	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).	B-1/5
4	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	B-6/9
5	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	B-10/11
6	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	B-12/14
7	Fatca	Document detailing for the Fatca & CRS Information	B-17-22

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

1	Authorisation for Running Account	For the operational convenience, if a client is dealing frequently and wishes to avoid exchange of funds and securities for every exchange/segment separately and on a daily/due date basis, this document may be signed by the client authoring broker to keep the account as running account across all exchange/segment.	A-9/10
2	Writeup on PMLA	(For Information Only) Brief Writeup on the provisions of prevention of money laundering Act 2002 (PMLA) which client needs to know.	B-15/16

Instruction for Signature : Cf – Client's full signature Sf – Sub-broker's full signature

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity | Other Than Individual**Important Instructions:**

- A) Fields marked with * are mandatory fields.
 B) Tick wherever applicable
 C) Please fill the date in DD-MM-YYYY format.
 D) Please fill the form in English and in BLOCK letters.
 E) KYC number of applicant is mandatory for update application.
 F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 G) List of two character ISO 3166 country codes is available at the end.
 H) Please read section wise detailed guidelines / instructions at the end
 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 ☐ UpdateKYC Number (Mandatory for KYC update request)Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small☐ **1. ENTITY DETAILS (Please refer instruction A at the end)**

☐ Name*

Entity constitution type

(Please refer instruction B at the end)

Date of incorporation Formation

Date of Commencement of business

Place of incorporation/formation

Country of incorporation/formation TIN or equivalent issuing country

PAN*

☐ Form 60 furnishedTIN / GST Registration Number ☐ **2. PROOF OF IDENTIT Y (Pol)* (Please refer instruction B at the end)**

- ☐ Officially valid document(s) in respect of person authorised to transact
- ☐ Certificate of incorporation / Formation ☐ Registration Certificate
- ☐ Memorandum and article of association ☐ Partnership Deed ☐ Trust Deed
- ☐ Resolution of board / managing committee ☐ Power of attorney granted to the manager, officers or employees to transact on its behalf
- ☐ Activity proof - 1 (for sole Proprietorship only) ☐ Activity Proof - 2 (for sole proprietorship only)

☐ **3. ADDRESS (please see instruction C at the end)**

3.1 Registered office address / place of business

Proof of Address* ☐ Registration Certificate ☐ Other Document

Line 1*

Line 2

Line 3 City / Town / Village*

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

3.2 Local Address in india (if different from Above)

Line 1*

Line 2

Line 3 City / Town / Village*

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

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

Tel. (off) Fax

Mobile Email ID

Mobile Email ID

☐ **5. NUMBER OF RELATED PERSONS** (please refer instruction E at the end)

Tel. (off) Fax

Mobile Email ID

Mobile Email ID

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant

PAN of the Applicant

Sr. No.	PAN	Name	DIN (For Directors) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph

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



CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity | Other Than Individual**Important Instructions:**

- A) Fields marked with * are mandatory fields.
 B) Tick ☐ wherever applicable
 C) Please fill the date in DD-MM-YYYY format.
 D) Please fill the form in English and in BLOCK letters.
 E) KYC number of applicant is mandatory for update application.
 F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 G) List of two character ISO 3166 country codes is available at the end.
 H) Please read section wise detailed guidelines / instructions at the end
 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 Application Type* ☐ New ☐ Update ☐ Delete(To be filled by financial institution) KYC Number (Mandatory for KYC update & Delete request)☐ **1. DETAILS OF RELATED PERSON** (Please refer instruction E at the end)

Addition of Related Person

☐ Deletion of Related Person☐ Update Related Person DetailsKYC Number of Related Person (if Available*) If KYC number is available, only 'Related Person Type' & 'Name' is mandatory
 Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor
☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)
DIN (Director Identification Number) (Mandatory if Related Person Type is Director)☐ **1.1 PERSONAL DETAILS** (Please refer instruction E at the end)

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

☐ Form 60 furnished

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

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National population Register letter
☐ F- proof of Possession of Aadhaar
 II ☐ E-KYC Authentication
 III ☐ Office verification of Aadhaar

PHOTO**XX**

Signature / Thumb Impression

Address*

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

☐ **1.2 CURRENT ADDRESS DETAILS** (Please refer instruction E at the end)☐ Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National population Register letter
☐ F- proof of Possession of Aadhaar
 II ☐ E-KYC Authentication
 III ☐ Office verification of Aadhaar
 IV Deemed POA
 V Self Declaration

Address*

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

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

Tel (off)		Tel. (Res)		Mobile		
FAX		Email ID				

☐ **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 : Place :

XX

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

☐ **9. ATTESTATION / FOR OFFICE USE ONLY**

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification
☐ Digital KYC Process ☐ Equivalent e-document

KYC & INPERSON VERIFICATION CARRIED OUT BY

Date - -
Emp. Name
Emp. Code
Emp. Designation
Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name
Code

[Institution Stamp]

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

No.	MICR No.	Bank Name, Branch Add. & Tel. No.	A/c Type	Account No.	IFSC Code
1					
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.

B. DEPOSITORY ACCOUNT(S) DETAILS

No.	DP Name	Beneficiary Name	DP ID No.	BOID No.	Depository Name
1 x					NSDL / CDSL
2					NSDL / CDSL

☒ Shares bought by you will be transferred to your DP A/c stated by you at Sr. No. 1

C. TRADING PREFERENCES

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

Ex. Segment	NSE & BSE	Ex. Segment	NSE & BSE
All Segments	<input checked="" type="checkbox"/>	Currency	<input checked="" type="checkbox"/>
Cash / Mutual Fund	<input checked="" type="checkbox"/>	Debt	<input checked="" type="checkbox"/>
F & O	<input checked="" type="checkbox"/>	Commodity Derivatives	<input checked="" type="checkbox"/>

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

☒ _____

D. PAST ACTIONS

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

E. DEALINGS THROUGH SUB-BROKERS / AUTHORISED PERSON AND OTHER STOCK BROKERS

■ If client is dealing through the sub-broker, provide the following details:

Sub - Broker Name		BSE SEBI Reg. No.	
		NSE SEBI Reg. No.	
Regd. Off. Address		____ SEBI Reg. No.	
		____ SEBI Reg. No.	
Signature	Tel. No.	Remisier/AP _____	
	Fax No.	Remisier/AP _____	
Sf	Website	Remisier/AP _____	

■ Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of Stock Broker		Name of Sub-Broker, if any		Client Code		Exchange	
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Details of disputes / dues pending from / to such stock broker / sub - broker:

F. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): ☐ Yes ☐ No

Specify your Email id, if applicable: _____

Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): ☐ Yes ☐ No

Number of years of Investment/Trading Experience: _____

Preference for Periodic Settlement Cycle ☐ Quarterly ☐ Monthly ☐ Other _____

Gross Annual Income details
Income Range per annum ☐ Upto Rs. 1 Lac ☐ Rs. 1 Lac to Rs. 5 Lac
☐ Rs. 5 Lac to Rs. 10 Lac ☐ Rs. 10 Lac to Rs. 25 Lac ☐ Above Rs. 25 Lac

Net worth as on Date _____ Rs. _____ (Net worth should not be older than 1 year)



Please tick, if any of the authorised signatories / Promoters / Karta / Trustees / Whole Time Directors is either politically Exposed Person (RFEP) ☐ Please provide details as per Annexure 2.2A

Any other information

PERSONS AUTHORIZED TO DEAL IN SECURITIES ON BEHALF OF COMPANY / FIRM / OTHERS

Name 1				photograph of Authorized Person
Designation				
Residential Address				
PAN		Signature		
UID			Cf	
Name 2				photograph of Authorized Person
Designation				
Residential Address				
PAN		Signature		
UID			Cf	
Any other information				

G INTRODUCER DETAILS (Optional)

Name			Signature	
Add. / Tel.				Sf
Status of the Introducer	Sub Broker / Remisier / Authorized Person / Existing Client / Other please specify _____			

DECLARATION

- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
- I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Name			Signature with Stamp	
Place		Date		Cf

FOR OFFICE USE ONLY

UCC Code allotted to the Client:			
Documents verified with Originals / In person Verification done by		Client Interviewed / Approved by	
Name of the Employee			
Signature			
Designation			
Employee Code			
Date			

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.

Date _____ Signature of the Authorised Signatory _____ Seal/Stamp of the stock broker _____



TARIFF SHEET

	CASH SEGMENT				
	Trading			Delivery	
	Minimum Rs.	Percent		Minimum Rs.	Percent
		1st side	2nd Side		
General Rates	0.10	0.10%	0.00%	0.10	1.00%
Special Rates					

	EQUITY FUTURES				
	Same Day			Any Day	
	Minimum Rs.	Percent		Minimum Rs.	Percent 2nd side
		1st side	2nd Side		
General Rates	0.10	0.10%	0.00%	0.10	0.10%
Special Rates					

	EQUITY OPTIONS				
	Same Day			Any Day	
	Minimum Rs.	Percent		Minimum Rs.	Percent 2nd side
		1st side	2nd Side		
General Rates	Rs. 100 per lot	1.00% of Premium	0.00	Rs. 100 per lot	1.00% of Premium
Special Rates					

	CURRENCY FUTURES				
	Same Day			Any Day	
	Minimum Rs.	Percent		Minimum Rs.	Percent 2nd side
		1st side	2nd Side		
General Rates	0.05	0.05%	0.00%	0.05	0.05%
Special Rates					

	CURRENCY OPTIONS				
	Same Day			Any Day	
	Minimum Rs.	Percent		Minimum Rs.	Percent 2nd side
		1st side	2nd Side		
General Rates	Rs. 50 per lot	1.00% of Premium	0.00%	Rs. 50 per lot	1.00% of Premium
Special Rates					

- ◆ The above rates are inclusive of all charges except Securities Transaction Tax and Service Tax which will be charged extra at the rate prevailing from time to time.
- ◆ The General rates as mentioned here shall be applied unless the special rates as may be agreed by the sub-broker/Authorised Person/Introducer and client and the same are mentioned here.

Cf

Client's Signature

Sf

Signature of Sub-broker / AP / Introducer

Bf

Signature of Broker

AUTHORISATION FOR RUNNING ACCOUNT

To,
PRAGYA EQUITIES PVT. LTD.
 Member : NSE / BSE
 (Capital Market / F&O)

Dated : _____

Dear Sir,

1. I/We am/are dealing with you in my/our accounts in the exchange/segments as specified in KYC documents. I/We have put my/our signatures here under to give my/our consent to treat my/our accounts with you as running account for the purpose of operational convenience.
2. I/We hereby give my/our consent and authorise you to set off and / or keep in abeyance my/our pay-out offunds / securities / premium / M to M and / or funds / securities / other collaterals placed by me/us for margins, against the pay-in of funds/securities/premium/MtoM and margins in any of the my/our account with you in any exchange/segments. I/we also authorise you to keep and utilise any funds/securities laying credit with you in any of my/our above mentioned accounts towards all the type of margins, including adhoc margin levied by you over and above exchange specified margins on my/our outstanding transactions and/or towards the pay-in and/or margins on our transactions to be done in future with you in any exchange/segment. I/We further authorise you to onward deposit my/our securities with exchanges and/or clearing corporation/house, for the purpose of margin / exposure limits. I/we shall not be entitled to claim from you any price differences, loss of profit and / or funds in my/our account. I/we assume the responsibility to take necessary action for availing corporate benefits on the retained securities where ever required and shall not be entitled to claim and damage or loss of profit on account of lapsed corporate benefits due to non action on my/our part.
3. I/We, also authorise you to keep with you our Premium/MTOM/Securities and pay-out credits and utilize it for the above mentioned purposes until we specifically ask for the withdrawal. I/We also authorize you to issue your interbank a/c. transfer cheques and debit my/our account where there is a credit balance and credit my/our account where there is a debit balance and pass on the JV entries amongst my/our said accounts. Such inter exchange/segment transfer of funds/securities can be affected as and when required and/or at specific time interval as per your accounting practice through single cheque / JV for my specific account and as apart of the consolidated actual fund transfer through control account. I/We hereby declare and agree that any such inter exchange / segment adjustments of funds and securities shall be treated as due discharge of your obligations and I / We shall not have right to raise any claim on you without taking into account any such inter exchange / segment adjustments. I/We shall not have right to demand any payment of funds/delivery of securities until there is a net credit in my/our account across all the exchange/segment.
4. I/we understand and agree that in case of payments towards pay-in obligations/margins are made through cheque / pay order / demand draft, the securities may be released and/or transaction orders may be executed only upon its realization in your bank account and/or at your discretion only.
5. I/we understand and agree that in case of purchase of securities, some times you may be unable to deliver the securities to the purchasing client on pay out day due to non receipt/short receipt of the securities from the exchange or from selling client when there are internal positions. In such cases, the securities shall be delivered to the purchasing client as and when it shall be received from the exchange or from the selling client or the transactions shall be closed out according to the rules and regulations of the concerned stock exchange. In such an event, the purchasing Client shall not be entitled to claim any price difference or loss of profit or any other charges on such transactions/securities.
6. I/we understand and agree that the ledger statements in respect of transactions entered on all the exchange/segment shall be viewed as combined for the purpose of convenience and the payments made by me / us may be appropriated by you towards any exchange segment at your discretion. I/we agree to settle our mutual obligations of funds and securities at least once in month/quarter. For this purpose I/we authorize you to pass the required journal entries in my ledger to adjust inter-exchange/intersegmentdebits/credits and such journal entries, backed by actual funds transfer shall be considered as due discharge of your obligation. I/wefurther authorize you to automatically send/credit the securities and funds in my designated demat / banking account. I/we agree to verify our statements of funds and securities on your website and as may be sent by you from time to time. I/we shall bring to your notice, the discrepancy if any preferably within seven days from the end of respective settlement date.
7. I/we understand and agree that without prejudice to your other rights (including the right to refer a matter to the arbitration), you shall be entitled to liquidate/close out all or any of the our positions as well as securities placed with/retained by you as margin for non-payment of margins, MtoM, premiums, other lawful amounts, outstanding debts etc. and adjust the proceeds of such liquidation / close out against my/our liabilities / obligations. Such liquidation or close out may be effected in any exchange / segment against overdue of any other

exchange/segment in which I/we do business with you and all the consequential losses and charges shall be born by me/us. I/we understand and agree that all the funds and securities placed with you or retained by you towards the margins are subject to a lien in your favour and while enforcing your lien, you may decide at your discretion the liquidation of any particular funds / securities and its modalities.

8. I/we understand and agree that the exchange/segment wise intra-day/end of day outstanding positions and volume of business shall be decided mutually from time to time considering the availability of required margins to the credit of my/our account and subject to the limits specified by the Exchange/Clearing house/SEBI. However, notwithstanding any such arrangement in this regard, you have absolute discretion to reduce the outstanding positions and/or restrict the dealings on any exchange/segment/securities without citing any reasons.
9. I/we understand and acknowledge that the placing of order with you electronically or otherwise does not guarantee its execution at specific price. I/we understand that the orders are generally be routed to the exchange's computer system under the normal course of business. However, you shall not be liable for any resultant actual or notional profit/loss arising from difference in order and execution prices due to the delay in receiving the order instructions by the computer operator and/or due to the partial or non-execution of orders on account of connectivity or system failure and software bugs at exchange or brokers office, suspension of trading, non availability of required quantity or for any other reasons whatsoever beyond the control of the trading member. I/we also understand and acknowledge that in case of market price orders, the actual execution price and quantity may be different than the order price and quantity.
10. I/we understand and acknowledge that any of your officials/employees/sub-brokers/affiliates are not authorised to advise the client and/or provide the information and recommendations about suitability and/or profitability of any investments and/or to carry out operations in my account at their discretion. I/we assumes full responsibility of our investment decisions. Neither you nor any of your directors, officials, employees, agent, sub-broker, affiliates shall have any responsibility/liability with respect to resultant profit/loss from any of my/our investment decision or transaction.
11. I/we hereby declare that I/we am/are not acting as unregistered intermediary on behalf of any other person and not associated with any other Stock Broker in the capacity of sub-broker/authorised person/authorised user / director/partner/employee and shall not get my/our self/selves so associated without prior written intimation to you.
12. I/we undertake and agree that I/we shall not, whether acting alone or in concert with others, directly or indirectly, hold and control the number of shares and/or take positions in any security beyond the limits fixed from time to time by the said Exchange / SEBI or under any other act, rules and regulations.
13. I/we hereby undertake to make, from time to time, the necessary disclosures regarding my/our direct / indirect holding in securities, business associations, other business dealings and all such other disclosures of information which are required to fulfill the statutory obligations under any rules, regulations and bye-laws of the Exchange / SEBI or under any other act, rules and regulations.
14. I/we are aware that you may tape-record the telephonic and on the desk conversation between the me/us and your dealers/sub-brokers/employees and I/we specifically permit you to use such records as an evidence to resolve disputes in connection with the transactions.
15. I/we understand and agree that any notice served on me/us either by hand delivery thereof or by Ordinary post / Registered AD/ Courier/ Fax at the addresses registered with you or on the designated email Ids, would be deemed to have been duly served. Notwithstanding anything stated above, communication relating to orders, margin maintenance calls and other similar matters in the ordinary course of dealings between us may be communicated orally or telephonically. It is specifically agreed by me/us that the margin calls on outstanding positions under the abnormal market conditions given by you through telephone and/or mobile SMS shall be deemed as margin call notice duly served on me to enable you to liquidate /close out the outstanding positions.
16. I/we understand that this authorization can be revoked by me/us anytime by giving a written intimation to this effect at the registered/corporate office of the broker. However, the revocation shall be effective prospectively from the date of its receipt and shall not effect the rights of the broker to take necessary actions under this authorization with respect to the outstanding obligations of already executed transaction till the date of receipt of the revocation intimation.

Cf

Client's Signature

Account Code: _____



Details of ultimate beneficial owner including additional FATCA & CRS information

Name of the entity

Type of Address given at KRA

Residential or Business

Residential

Business

Registered Office

"Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes"

Customer ID / Folio Number

PAN

Date of incorporation

City of incorporation

Country of incorporation

Entity Constitution Type
Please tick as appropriate

A Partnership Firm **B** HUF **C** Private Limited Company **D** Public Limited Company **E** Society **F** AOP/BOI

G Trust **H** Liquidator **I** Limited Liability Partnership **J** Artificial Juridical Person **K** FII **L** FIL **M** FBI-I **N** FBI-II

O Bank **P** Government Body **Q** Non-Government Organisation **R** Defense **S** Society **T** Others specify _____

Please tick the applicable tax resident declaration

1. Is "Entity" a tax resident of any country other than India

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

Country

Tax Identification Number

Identification Type
(TIN or Other, please specify)

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

FATCA & CRS Declaration

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

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

1. We are a, GIIN

Financial Institution



or

Direct reporting NFEI



(please tick as appropriate)

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

If the entity is a financial institution, ☒ Not required to apply for - please specify 2 digits sub-category

☒ Not obtained - Non-participating FI

PART B (Please fill any one as appropriate 'to be filled by NFEs other than Direct Reporting NFEs')

1.	If the Entity a publicly traded company (that is a company Yes whose shares are regularly traded on an established securities market)	Yes <input checked="" type="checkbox"/> (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)	Yes <input checked="" type="checkbox"/> (if yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation: _____ Name of stock exchange _____
3.	Is the Entity an active NFE	Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section.) Nature of Business _____ Please specify the sub-category of Active NFE <input type="text"/> (mention code-refer 2c of Part D)
4.	Is the Entity an passive NFE	Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section.) Nature of Business _____

Refer 2a of part D | Refer 2b of Part D | Refer 2c of Part D | Refer 3(ii) of Part D | Refer 1 of Part D | Refer 3(vii) of part D | Refer 1A of Part O

UBO Declaration

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)

Owner documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name - Beneficial owner / Controlling Person Country - Tax Residency Tax ID No. - Or functional equivalent for each country	Tax ID Type - TIN or other please specify Beneficial Interest In percentage Type Code of controlling person	Address include state, country, PIN/ZIP Code & Contract Details Address Type
1. Name Country Tax ID No.	Tax ID Type Type Code Address Type <input type="radio"/> Residence <input type="radio"/> Business <input type="radio"/> Registered office	Address ZIP [][][][][][][][] State: Country:
2. Name Country Tax ID No.	Tax ID Type Type Code Address Type <input type="radio"/> Residence <input type="radio"/> Business <input type="radio"/> Registered office	Address ZIP [][][][][][][][] State: Country:
3. Name Country Tax ID No.	Tax ID Type Type Code Address Type <input type="radio"/> Residence <input type="radio"/> Business <input type="radio"/> Registered office	Address ZIP [][][][][][][][] State: Country:
# If passive NFE, please provide below additional details. (Please attach additional sheets if necessary)		
PAN / Any other Identification Number <small>(PAN Aadhar Passport Election ID. Govt ID Driving Licence, NREGA Job card Others)</small> City of Birth Country of Birth	Occupation Type - Service Business. Others Nationality Father's Name - Mandatory if PAN isnot availabi	DOB - Date of birth Gender - Male Female, Other
1. PAN City of Birth Country of Birth	Occupation Type Nationality Father's Name	DOB DD/MM/YYYY Gender Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>
2. PAN City of Birth Country of Birth	Occupation Type Nationality Father's Name	DOB DD/MM/YYYY Gender Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>
3. PAN City of Birth Country of Birth	Occupation Type Nationality Father's Name	DOB DD/MM/YYYY Gender Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>
# Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India: * To include US, where controlling person is a US citizen or green card holder In case Tax Identification Number is not available, kindly provide functional equivalent		
Refer 3(1) of Part D	Refer 3(V) of Part D	"Refer 3(IV) (A) of Part D

FATCA - CRS Terms and Conditions

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the income-tax Rules, 1962, which rules require Indian financial institutions such as Bank to seek additional personal, tax and beneficial owner information and certain certification and documentation from all over account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation there to.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with (insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

If you have any questions about your tax residency, please contact your tax advisor; if any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

Certification

I/ We have understood the information requirement of this form (read along with the the FATCA & CRS Instructions) and hereby confirm that the information provided by me / us on this form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and conditions below and hereby accept the same.

Name			
Designation			
Signature	Signature	Signature	Place _____ Date: / / _____

PART D FATCA Instructions & Definitions

1 Financial institution (F1) - The term F1 means and financial institution that is a Depository Institution, Custodial Institution, Investment Entity or specified insurance company, as defined.

Depository institution is an entity that accepts deposits in the ordinary course of banking or similar business.

Custodial Institution is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where its income attributable to holding financial assets and related financial services equal or exceeds 20 percent of the entity's gross income during the shorter of

- (i) The three financial years preceding the year in which determination is made; or
- (ii) The period during which the entity has been in existence, whichever is less.

Investment entity is any entity :

That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer

- (1) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or
- (ii) individual and collective portfolio management; or
- (iii) investing, administering or managing funds, money or financial asset or money on behalf of other persons;

The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets. if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.

An entity is treated as primarily conducting as a business one or more of the 3 activities described above. or an entity gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:

- (i) The three-year period ending on 31 march of the year preceding the year in which the determination is made; or
- (ii) The period during which the entity has been in existence.

The term "investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 - refer point 2c.

Specified insurance company; Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

FI not required to apply for GIIN	
A. Reasons why FI not required to apply for GIIN;	
Code	Sub-category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement; Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Government Entity, International Organization or Central Bank.
03	Non-public fund of the armed force an employees state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity.
05	Qualified credit card issuer
06	Investment Advisors, Investment Managers & Executing Brokers
07	Exempt collective Investment vehicle.
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored Investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment vehicle
14	Owner Documented FFI

2. Non-financial entity (NFE) - Foreign entity that is not a financial institution

Types of NFEs that are regarded as excluded NFE are:

a. Publicly traded company (listed company)

A company is publicly traded if its stock are regularly traded on one or more established securities markets (Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)

b. Related entity of a publicly traded company

The NFE is a related entity of an entity of an entity of which is regularly traded on an established securities market;

C. Active NFE : (is any one of the following)	
Code	Sub-Category
1)	Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income.
2)	The NFE is a Governmental Entity, an international Organisation, a Central Bank, or an entity wholly owned by one or more of the foregoing;
3)	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to one or more subsidiaries that engage in trades or businesses other than the business of a Financial institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.
4)	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE.
5)	The NFE was not a Financial institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial institution:
6)	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution:
7)	<p>Any NFE that fulfills all of the following requirements:</p> <p>It is established and operated in india exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes or it is established and operated in india and it is a professional organisation, business league, chamber of commerce, labor organisation agricultural or horticultural organisation civic league or an organisation operated exclusively for the promotion of social welfare;</p> <p>It is exempt from Income tax in india;</p> <p>It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</p> <p>The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organisation, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof.</p> <p>Explanation - For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided the said sub-clause, namely:-</p> <p>(i) an Investor Protection Fund referred to in clause (23EA);</p> <p>(ii) a Credit Guarantee Fund Trust for small industries referred to in clause 23EB; and</p> <p>(iii) an investor protection Fund referred to in clause (23EC), of section 10 of the Act;</p>

3. Other Definations

<p>(i) Related entity</p> <p>An entity is a 'related entity' of another entity if either entity controls the other entity, or the two entities are under common control For this purpose, control includes direct or indirect ownership of more than 50% of the votes and value in an entity.</p>
<p>(ii) Passive NFE</p> <p>The term passive NFE means</p> <p>(i) any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company; or</p> <p>(ii) an investment entity defined in clause (b) of these instructions</p> <p>(iii) a withholding foreign partnership or withholding foreign trust;</p> <p>(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)</p>
<p>(iii) Passive income</p> <p>The term passive Income includes income by way of:</p> <p>(1) Dividends.</p> <p>(2) Interest</p> <p>(3) Income equivalent to interest,</p> <p>(4) Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE</p> <p>(5) Annuities</p> <p>(6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income.</p> <p>(7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,</p> <p>(8) The excess of foreign currency gains over foreign currency losses</p> <p>(9) Net income from swaps</p> <p>(10) Amounts received under cash value insurance contracts</p> <p>But passive income will not include, In case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as such a dealer.</p>
<p>(iv) Controlling persons</p> <p>Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance of Records) Rules, 2005. In the case of a trust, the controlling person means the settler, the trustees the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. in the case of a legal arrangement other than trust, controlling person means persons in equivalent or similar positions.</p> <p>Pursuant to guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than individuals) are required to provide details of Beneficial Owner(s) ('BO'), Accordingly, the Beneficial Owner means '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 of / entitlements to:</p>

- i. More than 25% of shares or capital or profit of the juridical person, where the juridical person is a company
- ii. More than 15% of the capital or profits of the juridical person, where the juridical person is a company
- iii. 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.

where the client is the trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through 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. Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

(A) Controlling Person Type;	
Code	Sub-category
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official
04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement-Other-trustee
06	CP of legal arrangement-trust protector
07	CP of legal arrangement-trust-beneficiary
08	CP of legal arrangement-trust-other
09	CP of legal arrangement-Other-Settlor or equivalent
10	CP of legal arrangement-trust-trustee equivalent
11	CP of legal arrangement-Other-protector equivalent
12	CP of legal arrangement-Other-beneficiary equivalent
13	CP of legal arrangement-Other-protector equivalent
14	Unknown

(v) Specified U.S. person-A.U.S. person other than the following:

- (i) a corporation the stock of which is regularly traded on one or more established securities markets.
- (ii) any corporation that is member of the same expanded affiliated group as defined in section 1471 (e) (2) of the U.S. Internal revenue Code, as a corporation described in clause (i);
- (iii) the united states or any wholly owned agency or instrumentality thereof.
- (iv) any state of the united States, any U. S. Territory, any political subdivision of any of the foregoing or any wholly owned agency or instrumentality of any one or more of the foregoing;
- (v) any organisation exempt from taxation under section 501(a) of the U.S. internal revenue code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- (vi) any bank as defined in section 381 of the U.S. Internal Revenue Code;
- (vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code.
- (viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange commission under the investment company act of 1940 (15 U.S.C. 80a-64);
- (ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue code;
- (x) any trust that is exempt from tax under section 864© of the U.S. internal Revenue code or that is described in section 4947 (a)(1) of the U.S. Internal Revenue Code;
- (x) a dealer in securities, commodities, or derivatives financial instruments (including notional principal contracts, futures, forwards, and options that is registered as such under the laws of the united states or any state.
- (xii) a broker as defined in section 6045© of the U. S. Internal Revenue Code; or
- (xiii) any tax-emempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(vi) Owner documented FFI

An FFI meets the following requirements:

- (a) The FFI is an FFI solely because it is an investment entity;
- (b) The FFI is not owned by or related to any FFI that is a depository institution, custodial, or specified insurance company;
- (c) The FFI does not maintain a financial account for any non participating FFI;
- (d) The FFI provides the designated withholding agent with all of the documentation and agrees to notify me withholding agent if there is a change in circumstances; and
- (e) The designated with holding agent agrees to report to the IPS (or, in the case of a reporting model 1. I GA, to the relevant foreign government or agency thereof all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-complaint FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.

(viii) Direct reporting NFE

A direct reporting NPFE means a NFFE that elects to report information about its direct or indirect sunstantial U.S. owners to the IRS.

(viii) Exemption code for U.S. persons	
Code	Sub-category
A	An Organisation exempt from tax under section 501 (a) or any individual retirement plan as defined in section 7701(a)(37)
B	The united States or any of its agencies or instrumentalities
C	A state the district of Columbia a possession of the united states, or any of their political subdivisions or instrumentalities
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(I)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(I)
F	A dealer in securities, commodities, or derivative financial instruments (including national principal contracts, futures, forwards, and options) that is registered as such under the laws of the United states or any state.
G	A real estate investment trust.
I	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the investment company Act of 1940
H	A common trust fund as defined in section 584(a)
J	A bank as defined in section 581
K	A broker
L	A Trust exempt from tax under section 864 or described in section 4947(a)(I)
M	A tax exempt trust under a section 408(b) plan or section 457 (g) plan

ACKNOWLEDGMENT

I/We hereby acknowledge the receipt of copies of following documents / papers.

- ▶ Rights and Obligations
- ▶ Risk Disclosure Document
- ▶ Guidance Note -Do's and Dont's
- ▶ Operational Business Policies
- ▶ PMLA Information
- ▶ Instructions / Check List
- ▶ Photocopy of KYC form, Running A/c. Authorization and Tariff Sheet signed and submitted by me.
- ▶ Account opening Letter

Cf

Clients Signature

Date : _____