



# 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.

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- 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 : \_\_\_\_\_

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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-1/2 A-3/4
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-7
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	Nominee	Document detailing for nomination.	B-18/20

**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-5/6
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

## COMMON KYC

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

#### Important Instructions:


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



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

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

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<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	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian	<input type="checkbox"/> Person of Indian Origin	
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector )	
	<input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student)	
	<input type="checkbox"/> B-Business			
	<input type="checkbox"/> X- Not Categorised			



**PHOTO**

Signature / Thumb Impression

#### ☐ 2. CONTACT DETAILS (All communications will be sent on provided)

T	<input type="text"/>	Tel. (Res)	<input type="text"/>	Mobile	<input type="text"/>
FAX	<input type="text"/>	Email ID	<input type="text"/>		

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

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

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

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

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

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

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

#### Address

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

☐ 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

State\*

ZIP / Post Code\*

City / Town / Village\*

ISO 3166 Country Code\*

**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) el. (Off)

<input type="checkbox"/> <b>7. REMARKS (If any)</b>										Mobile no. / Email-ID) (Please refer instruction <b>F</b> at the end)									

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

☒ Certified Copies

KYC VERIFICATION CARRIED OUT BY

☐ PAN Verified

☐ In Person Verification

☐ Verified Again Original Done By

Mr./ Mrs. \_\_\_\_\_

Registered, Sub-Broker / AP

For, Pragya Equities Pvt. Ltd.

Date :     /     /20

INSTITUTION DETAILS

Name

P R A G Y A   E Q U I T I E S   P V T   L T D

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
All Segments	<input checked="" type="checkbox"/>
Cash / Mutual Fund	<input checked="" type="checkbox"/>
F & O	<input checked="" type="checkbox"/>
Currency	<input checked="" type="checkbox"/>
Debt	<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	Sf	Tel. No.		Remisier/AP _____
		Fax No.		Remisier/AP _____
		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
Details of disputes / dues pending from / to such stock broker / sub - broker:			

**F. ADDITIONAL DETAILS**

Whether you wish to receive <input type="checkbox"/> Physical contract note <input type="checkbox"/> Electronic Contract Note (ECN) (please specify):	
Specify your Email id, if applicable: _____	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): <input type="checkbox"/> Yes <input type="checkbox"/> No	
Number of years of Investment/Trading Experience: _____	
Preference for Periodic Settlement Cycle <input type="checkbox"/> Quarterly <input type="checkbox"/> Monthly <input type="checkbox"/> Other _____	
Gross Annual Income details	Income Range per annum <input type="checkbox"/> Upto Rs. 1 Lac <input type="checkbox"/> Rs. 1 Lac to Rs. 5 Lac <input type="checkbox"/> Rs. 5 Lac to Rs. 10 Lac <input type="checkbox"/> Rs. 10 Lac to Rs. 25 Lac <input type="checkbox"/> Above Rs. 25 Lac
Net worth as on Date	Rs. _____ (Net worth should not be older than 1 year)

Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others _____
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)
Any other information _____	

**G INTRODUCER DETAILS (Optional)**

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

Name	_____		Signature with Stamp	_____
Place	_____	Date	_____	<b>Cf</b>

**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

☐

504, Kailas Plaza, 5th Floor, Vallabh Baug Lane, Ghatkopar (e), Mumbai-400 077.

(To be filled in by individual applying singly or jointly)

[illegible]

\* Signature of witness, along with name and address are required, 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**

UCC		Client ID	1	2	0	2	8	1	0	0							
To, <b>PRAGYA EQUITIES PVT. LTD.</b> 504, Kailas Plaza, 5th Floor, Vallabh Baug Lane, Ghatkopar (e), Mumbai-400 077.																	
Sole / First Holder Name																	
Second Holder Name																	
Third Holder Name																	
<b>I / We hereby confirm that I / We 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.</b>																	
Name																	
Signature																	
<input checked="" type="checkbox"/>																	

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

## Instructions for Applicants

1. If the Clearing member is a Sole Proprietor or an Individual, then the Corporate Account Opening Form should be filled in.
2. Signatures can be in English, Hindi or any of the other languages contained in the 8<sup>th</sup> schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate under his/her official seal.
3. Details of the Names, Address and Tel No. e.t.c. of the Magistrate / Notary Public / Special Executive Magistrate are to be provided in case of any attestation done by them.
4. In case of additional signatures, separate annexures should be attached to the application form.
5. In case of applications under a Power of Attorney, the relevant Power of Attorney or the certified and duly notarised copy thereof, Name of the POA, Signature of the POA, must be lodged with the DP alongwith the application.
6. All correspondence / queries shall be addressed to the **First / Sole Applicant** only.
7. Suffix refers to **MR. X Junior** or **Mr. X Senior** or **Lord Y I** or **Lord Y II** etc.
8. Where the holder is a minor, person lawfully entitled to act on behalf of the minor should sign the nomination.
9. Strike off whichever is not applicable.
10. The Following documents are to be submitted by applicants:
  1. One recent passport size photograph signature across the Photo.
  2. Clear Xerox of PAN Card for all holders are required.
  3. Proof of Address (Any one) for all holders.
    - Driving Licence • Electricity Bill (Not more than 2 months)
    - Passport • Voter's ID Card • Telephone Bill (Not more than 3 months) • Aadhaar
    - Bank Pass Book / Bank Statement (Statement must not be older than 3 months & must be verified by Bank Manager.
    - Valid Leave & Licence Agreement / Agreement for Sales.
  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. In case Minor Applicant / Nominee, Birth Certificate require.
  7. In case of HUF A/c. all above documents are required in Additional HUF PAN card & Declaration.
  8. All Signatures should be preferably in black ink only.
  9. Bank Proof • Copy of Cancelled Cheque.
    - Copy of Bank Pass Book or Latest statement.

## 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 assume 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: \_\_\_\_\_

## 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 : \_\_\_\_\_



## FATCA-CRS Declaration & Supplementary KYC Information

### Declaration Form for Individuals

Please consult a tax professional for further guidance regarding your tax residency for FATCA & CRS compliance

PAN           OR PAN Exempt KYC Ref No. (PEKRN) \_\_\_\_\_

Name

Father's Name

Gender ☐ Male ☐ Female ☐ Other

Nationality ☐ Indian ☐ U.S. ☐ Others (Please specify)

Status

Resident ☐ NRI ☐ Foreign National ☐ Others (Please specify)

Address Type [for KYC address] ☐ Residential ☐ Residential / Business ☐ Business

Address of tax residence would be taken as available in KYC Registration Agency (KRA) database. In case of any change, please fill up and submit a separate KYC Change Request Form with supporting documents to update the changes

Place of Birth

Country of Birth

Date of Birth DD/MM/YYYY

Occupation Details [Please tick any one (✓)]  
☐ Business ☐ Professional ☐ Public Sector Service ☐ Private Sector Service  
☐ Agriculturist ☐ Student ☐ Forex Dealer ☐ Government Service  
☐ Housewife ☐ Retired ☐ Others [Please specify] \_\_\_\_\_

Gross Annual Income in INR ☐ Below 1 Lakh ☐ 1-5 Lakh ☐ 5-10 Lakh ☐ 10-25 Lakh ☐ 25 Lakh-1 crore ☐ >1 Crore

Net Worth (Optional) INR \_\_\_\_\_ Lakh Net Worth as of DD / MM / YYYY

Are you a Politically Exposed Person [PEP] → Yes ☐ No ☐

Are you Related to a PEP → Yes ☐ No ☐

Are you a tax resident (i.e., are you assessed for Tax) in any other country outside India? → Yes ☐ No ☐

If 'YES', please provide the following details for ALL countries (other than India) in which you are a Resident for tax purposes i.e., where you are a Citizen / Resident / Green Card Holder / Tax Resident in the respective countries

Sr. No.	Country of Tax Residency	Tax Identification Number or Functional Equivalent	Identification Type [TIN or other, please specify]	If TIN is not available, please tick <input checked="" type="checkbox"/> the reason A, B or C [as defined below]
1				→ Reason A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>
2				→ Reason A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>

➤ Reason A → The country where the Account Holder is liable to pay tax does not issue Tax Identification Numbers to its residents.

➤ Reason B → The Account Holder is otherwise unable to obtain a TIN or equivalent number.

(Please explain below why you are unable to obtain a TIN in the table below if you have selected this reason)

1.	
2.	

➤ Reason C → No TIN required. (Select this reason Only if the authorities of the respective country of tax residence do not require the TIN to be disclosed)

#### Declaration:

I hereby confirm that the information provided hereinabove is true, correct, and complete to the best of my knowledge and belief and that I shall be responsible to the reporting agency which relies on this information for compliance with FATCA and CRS. I also confirm that I have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same. I hereby authorize you, the Mutual Fund /AMC/ RTA/ broker/DP or any other intermediary to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, Brokers/DPS /any other intermediary, their employees / RTAs ('the Authorized Parties') to any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries/ and / or to any other regulated intermediaries registered with any other authorities / regulator/s including RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. I/We authorize the Mutual Fund/AMC/RTA to provide relevant information to upstream payers to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same

Date:

Place:

Signature:

## FATCA & CRS Terms & Conditions

Details under FATCA & CRS: 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 the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our 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 thereto.

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.

## FATCA & CRS Instructions

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or greencard holder, please include United States in the foreign country information field along with your 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.

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA & CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below);AND 3. Any one of the following documents: Certified Copy of "Certificate of Loss of Nationality <b>or</b> Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; <b>or</b> Reason the customer did not obtain U.S. citizenship at birth
Residence/ mailing address in a country other than India	1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b> 2. Documentary evidence (refer list below)
Telephone number in a country other than India	<b>If no Indian telephone number is provided</b> 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b> 2. Documentary evidence (refer list below)  <b>If Indian telephone number is provided along with a foreign country telephone number</b> 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; <b>OR</b> 2. Documentary evidence (refer list below)
Telephone number in a country other than India	1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b> 2. Documentary evidence (refer list below)

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body\*
2. Valid identification issued by an authorized government body\* (e.g. Passport, National Identity card, etc.)

**\* Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.**