

# ACCOUNT OPENING KIT

**Name of Stock Broker / Trading Member / Clearing Member :**  
**ATISHAY STOCK BROKING PVT. LTD.**

**SEBI Regn. No. and Date :** INZ000299131 Dt.01.06.2021

**Registered & Correspondence Office Address :**

1 R N Mukherjee Road, Martin Burn House, 4th Floor, Cubicle 11 &12, Kolkata - 700 001

Phone : (033) 4005-3622, E.mail : atishaystockbroking@gmail.com

CIN : U65990WB2020PTC239157

**Name of Clearing Member : SMC GLOBAL SECURITIES LTD.**

**SEBI Regn. No. and Date :** - INZ000199438 Dt.12.09.2018

**Registered & Correspondence Office address :**

11/6B, Shanti Chambers, Main Pusa Road, New Delhi - 110 005

Phone : (011) 2575-4391, 3011-1000 / 1333, Fax : (011) 2575-4365

E.mail : smc@smcindiaonline.com, Website : www.smctradeonline.com

**Compliance Officer Name, Phone No. & email ID :**

Subhendu Sarkar,98310-45603, asbpl.complianceofficer@gmail.com

**CEO Name, Phone No. & email ID :**

Romy Patni, 98366-69254, atishaystockbroking@gmail.com

For any grievance / dispute, please contact **Atishay Stock Broking Pvt. Ltd.** at the above address or email id : atishaystockbroking@gmail.com and Phone no. : (033) 4005-3622. In case not satisfied with the response, please contact National Stock Exchange of India Ltd. at ignse@nse.co.in and Phone No. (022) 2659-8190.

Disclosure of Proprietary trading pursuant to SEBI Circular No. : SEBI/MRD/SE/Cir-42/2003 dated 19th Nov., 2003 and NSE Circular No. : NSE/INVG/PRE/2003/16 dated 25th Nov., 2003:

We, **ATISHAY STOCK BROKING PVT. LTD.**, are also engaged in Proprietary trading apart from Client based business.

SCORES URL Link : <https://scores.gov.in/scores/Welcome.html>

**Filing compliant on SCORES - Easy & Quick**

- a. Register on SCORES portal
- b. Mandatory details for filing complaints on SCORES
  - i. Name, PAN, Address, Mobile Number, E-mail ID
- c. Benefits:
  - i. Effective Communication
  - ii. Speedy redressal of the grievances

# ATISHAY STOCK BROKING PVT. LTD.

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\* Such documents are voluntary and the client need not execute such documents if he / she does not wish to use that facility. If executed, the client has a right to terminate the document any time he wishes by informing in writing.

**Important Instructions:**

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

**For office use only**

Application Type\*

☐ New ☐ Update

(To be filled by financial institution) KYC Number

(Mandatory for KYC update request)

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

Name\*

Entity Constitution Type\*

☐ Others (Specify)

(Please refer instruction B at the end)

Date of Incorporation / Formation\*

Date of Commencement of Business

Place of Incorporation / Formation\*

Country of Incorporation / Formation\*

PAN \*

☐ Form 60 furnished

TIN / GST Registration Number

☐ **2. PROOF OF IDENTITY (PoI)\*** (Please refer instruction B at the end)
☐ Officially valid document(s) in respect of person authorised to transact

☐ Certificate of Incorporation / Formation

☐ Registration Certificate

Regn Certificate No.

☐ Memorandum and Articles of Association

☐ Partnership Deed

☐ Trust Deed

☐ Resolution of Board / Managing Committee

☐ Power of attorney granted to its manager, officers or employees to transact on its behalf

☐ Activity Proof - 1 (For Sole Proprietorship Only)

☐ Activity Proof - 2 (For Sole Proprietorship Only)
☐ **3. ADDRESS\*** (Please see instruction C at the end)

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

Proof of Address\*

☐ Certificate of Incorporation / Formation

☐ Registration Certificate

☐ Other Document

Line 1\*

Line 2

Line 3

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

District\*

PIN / Post Code\*

State / U.T Code\*

ISO 3166 Country Code\*

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

Tel. (Off)

FAX

Mobile

Email ID

Mobile

Email ID

☐ **5. NUMBER OF RELATED PERSONS**


(Please refer instruction E at the end)

[illegible]

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

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

Date: 

D	D
---	---

 - 

M	M
---	---

 - 

Y	Y	Y	Y
---	---	---	---

[illegible]

Signature / Thumb Impression of Authorised Person/s

Documents Received	Certified Copies	Equivalent e-document
1	1	1
2	2	2
3	3	3
4	4	4
5	5	5
6	6	6
7	7	7
8	8	8
9	9	9
10	10	10
11	11	11
12	12	12
13	13	13
14	14	14
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98	98	98
99	99	99
100	100	100

### INSTITUTION DETAILS

Identity Verification ☐ Done Date --

[illegible][illegible][illegible][illegible]

Name **ATISHAY STOCK BROKING PVT. LTD.**

[illegible]

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

## Important Instructions:

- A) Fields marked with "\*" are mandatory fields.  
 B) Tick '✓' wherever applicable.  
 C) Please fill the date in DD-MM-YYYY format.  
 D) Please fill the form in English and in BLOCK letters.  
 E) KYC number of applicant is mandatory for update application.
- F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 G) List of two character ISO 3166 country codes is available at the end.  
 H) Please read section wise detailed guidelines / instructions at the end.  
 I) 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 and delete request)

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

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details
KYC Number of Related Person (if available\*)  If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

Related Person Type\* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court 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="checkbox"/> 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 ☐ Offline verification of Aadhaar

PHOTO\*



## 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"/>								

## 1.3. CURRENT ADDRESS DETAILS (Please refer instruction E and 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   
 II ☐ Offline verification of Aadhaar   
 IV ☐ Deemed PoA  
 V ☐ Self Declaration

**Address**

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

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

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

**2. APPLICANT DECLARATION**

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : DD - MM - YYYY

Place:

Signature /Thumb Impression of Applicant

**3. 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

**IPV and KYC VERIFICATION CARRIED OUT BY**

Date	DD - MM - YYYY
Emp. Name	
Emp. Code	
Emp. Designation	
Emp. Branch	

**INSTITUTION DETAILS**

Name **ATISHAY STOCK BROKING PVT. LTD.**  
 Code

[Employee Signature]

[Institution Stamp]

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

## Important Instructions:

- A) Fields marked with "\*" are mandatory fields.  
 B) Tick '✓' wherever applicable.  
 C) Please fill the date in DD-MM-YYYY format.  
 D) Please fill the form in English and in BLOCK letters.  
 E) KYC number of applicant is mandatory for update application.
- F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 G) List of two character ISO 3166 country codes is available at the end.  
 H) Please read section wise detailed guidelines / instructions at the end.  
 I) 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 and delete request)

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

☐ Addition of Related Person
 ☐ Deletion of Related Person
 ☐ Update Related Person Details
KYC Number of Related Person (if available\*)  If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

Related Person Type\* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court 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="checkbox"/> 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 ☐ Offline verification of Aadhaar

PHOTO\*



## 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"/>
City / Town / Village*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

## 1.3. CURRENT ADDRESS DETAILS (Please refer instruction E and 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   
 II ☐ Offline 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 communication will be sent on provided mobile no. / Email-ID) (Please refer instruction **D** at the end)

Tel. (Off)						—						Tel. (Res)						—						Mobile						—					
Email ID																																			

**2. APPLICANT DECLARATION**

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : DD — MM — YYYY

Place:

Signature /Thumb Impression of Applicant

**3. 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

**IPV and KYC VERIFICATION CARRIED OUT BY**

Date	DD — MM — YYYY
Emp. Name	
Emp. Code	
Emp. Designation	
Emp. Branch	

**INSTITUTION DETAILS**

Name **ATISHAY STOCK BROKING PVT. LTD.**  
 Code

[Employee Signature]

[Institution Stamp]

# **CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Legal Entity / Other than Individuals KYC Application Form**

## **A Clarification / Guidelines for filing Entity Details section**

### **1 Entity Constitution Type**

- |                             |                                      |   |
|-----------------------------|--------------------------------------|---|
| A - Sole Proprietorship     | G - Association of Persons (AOP) /   | L - Public Sector Banks                           |
| B - Partnership Firm        | Body of Individuals (BOI)            | M - Central/State Government Department or Agency |
| C - HUF                     | H - Trust                            | N - Section 8 Companies (Companies Act, 2013)     |
| D - Private Limited Company | I - Liquidator                       | O - Artificial Jurisdictional Person              |
| E - Public Limited Company  | J - Limited Liability Partnership    | P - International Organisation or Agency /        |
| F - Society                 | K - Artificial Liability Partnership | Foreign Embassy or Consular Office etc.           |
|                             |                                      | Q - Not Categorized                               |
|                             |                                      | R - Others  |
|                             |                                      | S - Foreign Portfolio Investors                   |

- 2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available.

## **B Clarification / Guidelines for filling 'Proof of Identity [Pol]' section**

- 1 Activity Proof -1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
- 2 Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- 3 Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
- 4 'Equivalent e-document means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 5 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 6 KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

## **C Clarification / Guidelines for filling 'Proof of Address [PoA]' section**

- 1 State / U.T. Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 2 Certified copy of document or equivalent e-document to be submitted.

## **D Clarification / Guidelines for filling 'Contact Details' section**

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

## **E Clarification / Guidelines for filling 'Related Person Details' section**

- 1 Personal Details
  - The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Proof of Address [PoA]
  - PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
  - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
  - In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR.
  - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.
- 3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
- 4 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

## **F Provision for capturing signature of multiple authorised persons is to be made by the RE.**

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorised to deal in securities on behalf of company/firm/others.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorised for attesting the documents, as per the below mentioned list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/Judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

### B. Proof of Identity (POI): - List of documents admissible as Proof of Identity:

- Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
- PAN card with photograph.
- Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

### C. Proof of Address (POA): - List of documents admissible as Proof of Address:

(\*Documents having an expiry date should be valid on the date of submission.)

- Passport/Voters Identity Card/Ration Card/Unique Identification Number (UID)/ Aadhar Letter/Registered lease or Sale Agreement of Residence/Driving License/ Flat Maintenance bill/Insurance Copy.

### F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
<b>Corporate</b>	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). <input type="checkbox"/> Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. <input type="checkbox"/> Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. <input type="checkbox"/> Copies of the Memorandum and Articles of Association and certificate of incorporation. <input type="checkbox"/> Copy of the Board Resolution for investment in securities market. <input type="checkbox"/> Authorised signatories list with specimen signatures.
<b>Partnership firm</b>	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> Certificate of registration (for registered partnership firms only). <input type="checkbox"/> Copy of partnership deed. <input type="checkbox"/> Authorised signatories list with specimen signatures. <input type="checkbox"/> Photograph, POI, POA, PAN of Partners.
<b>Trust</b>	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> Certificate of registration (for registered trust only). <input type="checkbox"/> Copy of Trust deed. <input type="checkbox"/> List of trustees certified by managing trustees/CA. <input type="checkbox"/> Photograph, POI, POA, PAN of Trustees.
<b>HUF</b>	<input type="checkbox"/> PAN of HUF. <input type="checkbox"/> Deed of declaration of HUF/ List of coparceners. <input type="checkbox"/> Bank pass-book/bank statement in the name of HUF. <input type="checkbox"/> Photograph, POI, POA, PAN of Karta.
<b>Unincorporated association or a body of individuals</b>	<input type="checkbox"/> Proof of Existence/Constitution document. <input type="checkbox"/> Resolution of the managing body & Power of Attorney granted to transact business on its behalf. <input type="checkbox"/> Authorised signatories list with specimen signatures.
<b>Banks/ Institutional Investors</b>	<input type="checkbox"/> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. <input type="checkbox"/> Authorised signatories list with specimen signatures.
<b>Foreign Institutional Investors (FII)</b>	<input type="checkbox"/> Copy of SEBI registration certificate. <input type="checkbox"/> Authorised signatories list with specimen signatures.
<b>Army/ Government Bodies</b>	<input type="checkbox"/> Self-certification on letterhead. <input type="checkbox"/> Authorised signatories list with specimen signatures.
<b>Registered Society</b>	<input type="checkbox"/> Copy of Registration Certificate under Societies Registration Act. <input type="checkbox"/> List of Managing Committee members. <input type="checkbox"/> Committee resolution for persons authorised to act as authorised signatories with specimen signatures. <input type="checkbox"/> True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook -- Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

### D. Exemptions/clarifications to PAN

(\*Sufficient documentary evidence in support of such claims to be collected.)

- In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50, 000/- p.a.
- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

### E. List of people authorised to attest the documents:

- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- In case of NRIs, authorised officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

**List of two digit state / U.T codes as per Indian Motor Vehicle Act, 1988**

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

**List of ISO 3166 two digit Country Code**

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GO	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Island	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Island	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Moyotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SI
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NZ	Taiwan province of china	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hongkong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion	RE	Virgin Island, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French Part)	MF		

## TRADING ACCOUNT RELATED DETAILS

### A. BANK ACCOUNT(S) DETAILS

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

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

Bank Account No. : \_\_\_\_\_

Account Type : ☐ Saving ☐ Current ☐ Others \_\_\_\_\_ In case of NRI/NRE/NRO

MICR Number : \_\_\_\_\_ IFSC code : \_\_\_\_\_

### B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name : \_\_\_\_\_

Depository Name : ☐ NSDL ☐ CDSL

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

DP ID : \_\_\_\_\_ Beneficiary ID (BO ID) : \_\_\_\_\_

### C. TRADING PREFERENCES

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

Exchange	Segment	Signature
1. National Stock Exchange of India Ltd. - Cash (including OFS)	✓	
- F&O	✓	
- Currency Derivatives (incl. IRF)	✓	
- Commodity	✓	
# If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter would be required from the client.		

#### D. OTHER DETAILS

1. **Gross Annual Income Details (please specify) :**

Income Range per annum : ☐ Below ₹ 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25 Lacs-1 crore ☐ > 1 crore

**Net-worth** ₹ \_\_\_\_\_ **as on** (date) \_\_\_\_\_ (dd/mm/yyyy)

(Net worth should not be older than 1 year)

**Documentary evidence of financial details mandatory for dealing in derivatives segments**

2. **Occupation (please tick any one and give brief details - For Individuals only) :**

☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist

☐ Retired ☐ Housewife ☐ Student ☐ Others \_\_\_\_\_

3. **Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees / whole time directors**

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

#### E. 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 :

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#### F. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-broker's Name : \_\_\_\_\_

SEBI Registration Number : \_\_\_\_\_

Registered Office Address : \_\_\_\_\_

Phone : \_\_\_\_\_ Fax : \_\_\_\_\_ Website : \_\_\_\_\_

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

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 :

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#### G. ADDITIONAL DETAILS

❖ Whether you wish to receive physical contract note or Electronic Contract Note (ECN)

(please specify) : \_\_\_\_\_ Specify your Email id, if applicable : \_\_\_\_\_

Any change in the email id shall be communicated by the client through a physical letter to us. In respect of internet clients, the request for change of email id may be made through the secured access by way of client specific user id and password. Also, non-receipt of bounced mail notification by us shall amount to delivery of the Contract Note at your e-mail ID.

❖ Whether you wish to receive the standard documents - Rights and Obligations, Risk Disclosure Document (RDD) and Guidance note - physically or electronically, (please specify) : \_\_\_\_\_

Please note that these documents are mandatory and binding and are also available in certain vernacular languages on demand.

- ❖ Whether you wish to avail of the facility of internet trading / wireless technology

(please specify) : \_\_\_\_\_

(See "Rights and Obligations" document for additional Clauses applicable to Internet and Wireless technology based trading facility)

- ❖ Number of years of Investment / Trading Experience : \_\_\_\_\_

- ❖ In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company / firm / others : Please fill Annexure 1

- ❖ Any other information : \_\_\_\_\_

#### H. INTRODUCER DETAILS (optional)

Name of the Introducer : \_\_\_\_\_  
(Surname) (Name) (Middle Name)

Status of the Introducer :

☐ Sub-broker ☐ Remisier ☐ Authorized Person ☐ Existing Client ☐ Others, please specify \_\_\_\_\_

Address and Phone No. of the Introducer : \_\_\_\_\_

Signature of the Introducer : \_\_\_\_\_

#### DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. 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.

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

✓ \_\_\_\_\_  
**Signature of Client/ (all) Authorized Signatory (ies)**

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

## FOR OFFICE USE ONLY

UCC Code allotted to the Client : \_\_\_\_\_

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

*I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.*

\_\_\_\_\_  
**Signature of the Authorised Signatory**

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

**Seal/Stamp of the stock broker**

### INSTRUCTIONS / CHECK LIST

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

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets	Self declaration with relevant supporting documents

*\*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

2. Copy of cancelled cheque leaf / pass book / bank statement specifying name of the constituent, MICR Code or / and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals :
  - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker / sub-broker's office.
  - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals :
  - a. Form need to be initialized by all the authorized signatories.
  - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company / firm / others and their specimen signatures.

**MANDATORY**

## **POLICIES AND PROCEDURES**

### **A. Refusal of orders for penny stocks**

The typical “penny stock” is a very small company with highly illiquid and speculative shares. They trade at a relatively low price and market capitalization. The company’s policy is to classify the following stocks as “penny” stocks

- a. All stocks having current market price upto Rs.10.
- b. All stocks classified as Illiquid Securities as per Exchanges’ circulars from time to time.

An order for penny stock trading may be denied

1. If applicable exposure limit / market wide position limit / trading member position limit / client wise position limit will be exceeded.
2. If trading debarred / banned by any regulatory authority.
3. If trade pattern is objectionable (also includes frivolous, vexatious and malicious)
4. If otherwise not permissible under our Risk Management policy / Anti money laundering policy/ any other policy for the time being in force.
5. If 100% upfront margin is not paid or the securities are not to be delivered in Demat form.
6. If payment of Minimum Processing Charges on Contract Note is not agreed upon.
7. Where circumstances appear to justify such action or on reasonable grounds.

We shall not be held liable for restricting / prohibiting trade in penny stocks at any time. Also the Client shall indemnify us in respect of any loss caused to us by virtue of the Client trading in penny stock.

### **B. Setting up Client’s Exposure limit**

Clients will be granted turnover and exposure limits on the basis of available deposits being sufficient to cover upfront margin requirements.

- a. Deposits to
  - include margins specifically deposited by the clients
  - include what is withheld from settlement obligations as margin on payout.
  - exclude what is ploughed back from margin to meet settlement obligation on payin.
- b. Deposits may be made available in the form of cash, FDR, BG, Margin pledge of securities / other acceptable collaterals.
- c. In case of cheques, they must come from client’s designated bank account only. Depending upon the circumstances, the Risk Manager will be at liberty to give benefit / credit for cheques only on realization of funds.
- d. Haircuts will be applicable on the non cash component (other than Cash / BG/ FDR) of deposits at rates specified by Exchanges from time to time.
- e. Cash and Non cash component (after haircut) of deposits must be maintained in a specified ratio. Any non cash component in excess of specified proportion of cash component will not be reckoned. This specified ratio will depend upon the Credit Rating of the client from Risk Manager.

In case of derivatives, Clients shall be allowed to trade only upto the applicable clientwise position limits set by the Exchanges / Regulators from time to time.

The exposure limits set by ASBPL does not by itself create any right for the Client and are liable to be withdrawn at any time without notice and the client shall bear the loss on account of withdrawal of such limits. The client agrees to compensate ASBPL in the event of ASBPL suffering any loss, harm or injury on account of exposure given and / or withdrawn.

### **C. Applicable brokerage rate**

- a. Brokerage on option contracts will be charged on the Premium amount.
- b. Brokerage rates not to exceed 2.5% of the contract price exclusive of statutory levies.

Exclusions:

- o In case of options, brokerage shall not exceed higher of 2.5% of premium amount or Rs. 100 per lot.
- o Where sale / purchase value of a share is Rs.10/- or less, a maximum brokerage of 25 paise per share may be collected.
- c. Brokerage rate will be mutually decided before the onset of trading. Any change in future can only have prospective effect and must be effected in writing.

#### **D. Imposition of Penalty / Delayed Payment Charges**

Penalties will be levied on clients for :

- a. A violation by the client of the requirements / stipulations of Exchanges / any Regulatory Authority.
- b. His trading pattern been objectionable (includes disturbing fair price determination in the market or resorting to unfair trade practices).
- c. His suspension of information / providing false information.

Further, any penalty / fine / charge imposed on us by Exchanges / any Regulatory Authority shall be fully recoverable from the client and the client will have to bear the same.

Rs.500 will be collected from clients in addition to actual recovery of Cheque Return Charges.

Any relaxation of the penalty on a client will require the Board's specific approval which may grant the same depending on the circumstances on case to case basis. Any such relaxation in a case no way entitles any client to seek relaxation in the same circumstances, either then or in future.

We are currently not charging any Delayed Payment charges.

No penalty / delayed payment charge shall be payable by us under any circumstances.

Clients to note : Ignorance of law is no excuse at law.

#### **E. Right to sell clients' securities or close clients' positions, without giving notice to the client**

Any failure on part of a client to pay the whole of the margin deposit and/or settlement obligation requirements, within the time permitted by the Rules and Regulations of Exchanges/ Regulatory Authorities, will entitle us to, without any notice to the client :

1. Withdraw trading facility from the client.
2. Square off / close-out all or any part of outstanding positions of client forthwith or any time thereafter, at our discretion, to the extent possible, by placing at the Exchange, counter orders. Such close-out/ square off shall be limited to the extent of client's margin/ settlement obligations.
3. Sale all or any part of client's securities held in CUSA forthwith or any time thereafter at our discretion. Such close out shall be limited to the extent of client's margin / settlement obligations.
4. Invoke Margin Pledge.
5. Invoke BG / FDRs deposited with us.
6. Use other risk containment measures as may be deemed fit and appropriate under the circumstances.
7. Impose penalties / delayed payment charges / other disciplinary action fit and appropriate.

Though it will be our sincere effort to timely notify the client of the shortfall and give him reasonable time to make good the shortfall, this is not a pre-condition to the exercise of the above rights, and the client should be aware of the timelines of meeting obligations himself.

The Risk Manager will consider the credit risk rating of the client and take all or any of above measures in a manner a man of just and reasonable mind would have done under the circumstances. The action shall be final and binding on the client and any profit / loss shall be borne by the client only.

In case of cheques, they must come from client's designated bank account only. Depending upon the circumstances, the Risk Manager will be at liberty to give benefit / credit for cheques only on realization of funds. He will be exclusively guided by a risk containment focus and protection of company's interest. Clients are therefore advised to keep sufficient margins well in advance.

We reserve the above right, however, we are not obliged to close clients' positions / sell clients' securities, and it shall be the continued responsibility of the client to make payments towards outstanding dues/ obligations and / or applicable margins to ASBPL in time.

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

- a. When a ban of fresh position is in force in any security, no further position is allowed. In case a position has already been inadvertently taken, the existing position may be closed.
- b. In case of non-payment of dues – margin (which includes additional margins as and when levied) and settlement obligations (which includes daily MTM settlement of future contracts, final settlement of future contracts, premium settlement of option contracts, and exercise settlement of option contracts after commission, fees, and/or charges).
  - Margin requirement will be computed on a real-time basis.
  - Initial margin component is required on an upfront basis.
  - Depending upon the circumstances, the Risk Manager will be at liberty to give benefit / credit for cheques only on realization of funds.
- c. If we are in close-out mode for any reason / if we are disabled for any reason.
- d. If the trading pattern is objectionable (includes disturbing fair price determination in the market or resorting to unfair trade practices).
- e. In case violation of any directive / regulation/ laws / bye-laws of Exchanges / Other Regulatory Authorities will result or have resulted.
- f. Where the client is unable to provide funds / securities in a manner that can be transferred to the exchange immediately for pay-in / margin obligations.
- g. In the event of death or insolvency of the client or his / its otherwise becoming incapable of receiving / paying for any contracts which the client has ordered to be bought or sold, or of delivering or transferring securities.
- h. On failure to comply with any of the provisions relating to delivery, payment and settlement of deals or any failure to fulfill the terms and conditions subject to which the deal has been made.
- i. If applicable exposure limit / market wide position limit / trading member position limit / client wise position limit will be exceeded or has exceeded.
- j. In case of high market volatility, where the current margins of the clients with us does not cover the value at risk of the client.
- k. If otherwise not permissible under our Risk Management policy / Due diligence policy / Anti money laundering policy/ any other policy for the time being in force.
- l. Where circumstances appear to justify such action or on reasonable grounds.

Besides restricting further trades/ closing existing trades, other measures as may be deemed fit may further be taken.

Any profit / loss on closing out shall be borne by client only.

**G. Internal shortages of securities**

If securities are not received in our Pool A/c from the selling client before the pay in date but there is no failure to meet securities obligations towards the Exchange, i.e., there is an instance of internal shortage, the following procedure will be adopted.

1. There will be a buying-in of shares against the selling client through a "deemed auction" for the benefit of buying client. The buying-in shall be from the market and may be with or without the notice of the client.

2. If for any reason whatsoever there couldn't be a buying-in on T+2 day, the shares will be deemed to be closed on T+2 day using the following valuation:

Higher of :

- a. Highest price from the 1st day of the relevant trading period till the date of close out.
- b. Closing price on the auction day (T+2) plus 5%.

The selling client will be debited for "deemed auction" price / "close out" price. In case of close out, the buying client shall be credited for the close-out price.

Any loss of corporate benefit to the buyer of the securities shall be recovered from the defaulting seller's account.

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

A client may give a written request for temporarily suspending/ closing his account. The request will be processed within a maximum of 2 working days from the date of receipt of the request provided:

- a. He doesn't owe us any money across all segments / Exchanges on any account.
- b. There are no outstanding / open positions of the client.

During such suspension, the client will not be in a position to trade with us. The suspension may be revoked by a request in writing from the client. This request will be processed within a maximum of 7 working days from the receipt of the request provided:

- a. He fulfills latest KYC standards applicable then.
- b. He provides any additional information that may be required by us / Regulatory Authorities then.
- c. He has not been debarred from trading by any Authority meanwhile.
- d. His conduct, till date, has been fair, honourable and just.

Notwithstanding any such suspension / closure, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to such closure / suspension shall continue to subsist and binding on the client.

#### **I. Deregistering a client**

Deregistering a client shall mean complete termination of his trading agreement (irrespective of segment / exchange) with us. Once deregistered, a client will not be entertained back for fresh registration for atleast 1 year.

Deregistration can be initiated on client's specific written request provided full and final settlement of all his accounts with us both for funds and securities have been effected.

Deregistration can also be initiated by us in the following situations :

1. He is guilty of breach of terms and conditions of the Member Client Agreement.
2. If he is guilty of contravention, non-compliance, disobedience, disregard or evasion of any of the Bye laws, Rules and Regulations of the Exchange / Clearing Corporation / Other Regulatory Authorities or of any of their Resolutions, Orders, Notices, Discretions, decisions or rulings.
3. If he is guilty of any conduct, proceeding or method of business which is deemed dishonourable, disgraceful or inconsistent with just and equitable principles or detrimental to the interests of Atishay Stock Broking Pvt. Ltd. or prejudicial or subversive to its objects and purposes.
4. His financial condition is found to be unsatisfactory to the extent that he cannot be permitted to do business with safety to ourselves.
5. He is otherwise not incapacitated to deal in securities / derivatives contracts.

Such deregistration shall not affect our rights against such client to recover any dues against him, i.e., our right as a creditor shall remain unaffected. Also the deregistered client shall be bound to fulfill deals and obligations outstanding at the time of his deregistration.

The above Policies and Procedures are subject to change / updation from time to time. Clients are requested to refer to the updated Policies and Procedures and abide by the same.

# TARIFF SHEET

## A. BROKERAGE

1. Capital Market Segment (incl. OFS)			3. Currency Derivatives Segment (incl. IRF)		
	%	Min. Paisa*		%	Min. Paisa*      Min. Per Lot
Square up Brokerage (chargeable for each leg of transaction)	<input type="text"/>	<input type="text"/>	Brokerage in Futures	<input type="text"/>	<input type="text"/> <input type="text"/>
Delivery Brokerage	<input type="text"/>	<input type="text"/>	Brokerage in Options	<input type="text"/>	<input type="text"/> <input type="text"/>

---

2. F&O Segment			4. Commodity			
	%	Min. Paisa*	Min. Per Lot		%	Min. Paisa*      Min. Per Lot
Brokerage in Futures	<input type="text"/>	<input type="text"/>	<input type="text"/>	Brokerage in Futures	<input type="text"/>	<input type="text"/> <input type="text"/>
Brokerage in Options	<input type="text"/>	<input type="text"/>	<input type="text"/>	Brokerage in Options	<input type="text"/>	<input type="text"/> <input type="text"/>

Minimum Processing Fees, in case of brokerage being less than ₹ 25/-  
in total brokerage booked on a particular date

₹

\* Minimum Paisa per Share / underlying share / unit of foreign currency

## B. TRANSACTION CHARGES & OTHER CHARGES

Exchange Transaction Charges, Stamp, SEBI Turnover charges, STT, Bank charges on account of dishonor of cheques, stop payment instruction charges, demand draft/ pay order/PGP charges, NEFT/RTGS charges, call and trade charges, SMS charges will be levied on actual basis.

GST will be charged on all charges except Stamp and STT.

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

✓ \_\_\_\_\_  
(Signature of Client)

## AUTHORITY FOR RUNNING ACCOUNT

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

To

**ATISHAY STOCK BROKING PVT. LTD.**

1 R N Mukherjee Road

Martin Burn House, 4th Floor, Cubicle 11 &12

Kolkata - 700 001

Dear Sir,

For operational convenience with respect to my/ our trading under the UCC \_\_\_\_\_,  
I/We wish to maintain a running account with you and accordingly authorize you here as under:

1. Funds may not be given to me/ us within one working day of the payout but may be withheld by you, and retained unless I/ We specifically ask for the same.
2. No interest shall be receivable by me/us on such funds withheld.
3. Such funds may be utilized towards my/our exposure/ margin/settlement/other obligations in the same / other segment / exchange on a continuous basis.
4. Securities bought may be inter-settled, i.e., inter-transferred from one settlement (where purchased) to another subsequent settlement (where sold). Any charges for such inter-settlement transfer may be debited to my / our account.

Further:

1. Funds deposited towards margin in a segment / exchange may be utilized, on a running basis, towards margin requirement / debit balance in any exchange / segment where I / We have the client account with you.
2. Similarly, securities pledged towards margin in a segment / exchange may be reckoned, on a running basis, towards margin requirement in any exchange / segment where I / We have the client account with you.

Finally:

1. To periodically settle my/ our accounts with you once every calendar month / quarter (*strike off what is not applicable*), except for BGs and FDRs, after retaining requisite funds and considering securities under pledge to provide for existing and expected obligations calculated in the manner specified by Exchanges.
2. And, otherwise, to deliver me /us the withheld funds and/or unpledge the securities being employed towards margin, whole or part as I/We specify, only on my/ our specific request, and that too after adjusting all my/our actual / expected obligations (margin / settlement / other dues) as on the date of release/ unpledge.

I / We reserve a right to revoke the above authorization at any time (i.e., without notice) which would continue until such revocation.

✓

(Signature of Account Holder only) [no POA holder allowed]

Signature (with rubber stamp)

## AUTHORIZATION TO SEND ELECTRONIC STATEMENTS

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

To

**ATISHAY STOCK BROKING PVT. LTD.**

1 R N Mukherjee Road, Martin Burn House  
4th Floor, Cubicle 11 & 12, Kolkata - 700 001

Dear Sir,

### Email Authorization :

I/ We hereby authorize you to electronically send me/ us my/ our Contract Notes, Daily Margin Statements, Monthly/ Quarterly Statements related to settlement of accounts, Annual Global Statement, Form 10DB, alerts, confirmations, etc. on my/our email id noted with you, i.e., \_\_\_\_\_ (same as on Page 11 Section G) , applicable with immediate effect.

Further:

- I/We hereby declare that the above email id belongs to ☐ Self ☐ Family  
(If family, specify the name of the person and relationship – Spouse / Dependant Parents / Dependant Children)  
Name (of Relative) : \_\_\_\_\_ Relation : \_ (My) \_\_\_\_\_
- I/We agree that physical statements need not be sent to me/us, once sent over email.
- I/We also agree that non-receipt of bounced mail notification at your end shall amount to delivery at my/our email account. I/We also agree not to hold you responsible for late / non-receipt of contract notes/ other statements sent in electronic form for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc. I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes / other statements to me/us and such dispatch shall not be disputed by me/us on any account.
- I/We agree to my/ our responsibility to regularly check my/ our email account and keep it alive, running and not full. My/our non-verification or not accessing the contract notes / other statements on regular basis shall not be a reason for disputing the contract notes/ other statements at any time.
- If at any time my/our email address changes, I/ We will notify you of my/ our new email address through a physical letter\*.

✓ \_\_\_\_\_

(Signature of Client)

\*In respect of internet clients, the request for change of email id may be made through the secured access by way of client specific user id and password.

### Mobile Authorization:

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

Further:

- I/We hereby declare that the above mobile number belongs to ☐ Self ☐ Family  
(If family, specify the name of the person and relationship – Spouse / Dependant Parents / Dependant Children)  
Name (of Relative) : \_\_\_\_\_ Relation : \_ (My) \_\_\_\_\_
- I/We understand and hereby accept that any message sent to the above mobile number regarding my/ our Trading would be deemed to have been duly received and acknowledged by me/ us.
- I/We hereby agree to notify you immediately on notice of any discrepancy / erroneous transaction done in my/ our Trading account, intimated to me/ us through SMS / Whatsapp alerts to the above mentioned mobile telephone number.
- I/We agree to your uploading my/ our mobile number to any Exchange and/or Exchange designated Agency to enable the concerned Exchange(s) to send details of Transaction on my account.
- If at any time my/our mobile number changes, I/ We will notify you of my/ our new mobile number through a physical letter.

✓ \_\_\_\_\_

(Signature of Client)

**VOLUNTARY**

## AUTHORIZATIONS

I/ We further authorize Atishay Stock Broking Pvt. Ltd. here as under:

1. To accept my /our order placement / modification/ cancellation verbally and confirm about the same verbally. Thus there will be no requirement to send me/ us any order confirmation / cancellation/ modification / trade confirmation slips, etc.

---

Signature of Client

2. To deliver contract notes/ statement of accounts/ cheques to my / our person /office which will be sufficiently deemed to have been personally delivered to me / us. These may also be sent to me /us by post / courier. I agree to bear Courier Charges.

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Signature of Client

3. To access my / our data through UIDAI system

---

Signature of Client

## UNDERTAKINGS

I/ We further undertake in favour of Atishay Stock Broking Pvt. Ltd. here as under:

1. All the trades done by me/ us through Atishay Stock Broking Pvt. Ltd. shall be completely on my /our behalf and I/We shall not act as an unregistered sub-broker of Atishay Stock Broking Pvt. Ltd.

---

Signature of Client

2. I/We will indemnify fully and hold harmless ASBPL for any losses arising from the execution of order and / or instructions that got entered through the system at my/ our end.

---

Signature of Client

3. You will not be liable for losses caused to me /us directly or indirectly by government restriction, Exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, strikes or any other condition beyond your control.

---

Signature of Client

4. I/ We shall bring any dispute arising from the statement of account or settlement so made to your notice preferably within 7 working days from the date of receipt of funds/securities or statement, as the case may be.

---

Signature of Client

5. I/We shall not hold Atishay Stock Broking Pvt. Ltd. or any of its employee / official / agent / affiliate responsible or liable for any information, alleged / purported recommendation / advice with respect to any investment/trading decision or transaction, and if so acted upon by me/us, the same shall be at my/our sole risk and cost.

---

Signature of Client

6. I/We will not question ASBPL for its unilateral action to comply with Exchanges/SEBI Rules & Regulations including, but not limited to, reduction of position if violating position limits, non execution of trades if manipulative trades observed, non acceptance of funds/ securities from 3rd party account, sale of shares from CUSA on non-payment, disablement on SEBI debarment/violations of PMLA provisions etc. Consequent profit/loss, if any, shall be mine/ours.

---

Signature of Client

## VOLUNTARY

## Appendix A - Electronic Contract Note [ECN] - DECLARATION (VOLUNTARY)

To  
**ATISHAY STOCK BROKING PVT. LTD.**  
**Member : National Stock Exchange of India Ltd.**  
1 R N Mukherjee Road  
Martin Burn House, 4th Floor, Cubicle 11 & 12  
Kolkata - 700 001

Dear Sir,

I, \_\_\_\_\_, a client with **Atishay Stock Broking Pvt. Ltd.**, Member of **National Stock Exchange of India Ltd.** undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is\* \_\_\_\_\_. This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other language known to me.
- I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

**The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same. \*(The email id must be written in own handwriting of the client.)**

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

Unique Client Code : \_\_\_\_\_ PAN : \_\_\_\_\_

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

\_\_\_\_\_

Signature of the client : \_\_\_\_\_

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

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

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**Verification of the client signature done by :**

Name of the designated officer of **Atishay Stock Broking Pvt. Ltd.** \_\_\_\_\_

**For Atishay Stock Broking Pvt. Ltd.**

**Authorised Signatory Signature**

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

To  
**ATISHAY STOCK BROKING PVT. LTD.**  
1 R N Mukherjee Road, Martin Burn House  
4th Floor, Cubicle 11 &12, Kolkata - 700 001

Dear Sir,

**Subject : My/Our request for trading in commodity forward contracts/  
commodity derivatives on NSE as your client**

I/We, the undersigned, have taken cognizance of NSE Circular on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by NSE or SEBI and such position limits will be calculated in accordance with the contents of above stated circulars of NSE as modified from time to time.

I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/ Trusts in which I or any of above such person is a partner/director/karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative on NSE through you or through any other member(s) of NSE to enable you to restrict our position limit as prescribed by the above referred circulars of NSE as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your clients on NSE only on the basis of our above assurances and undertaking.

Thanking You,

Yours faithfully,

\_\_\_\_\_  
Signature of Client

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

To  
**ATISHAY STOCK BROKING PVT. LTD.**  
1 R N Mukherjee Road, Martin Burn House  
4th Floor, Cubicle 11 &12, Kolkata - 700 001

Dear Sir,

**Sub : Registration for Commodity Options**

I/We, Mr. \_\_\_\_\_ Client Code \_\_\_\_\_  
intend to trade in Commodity options subject to regulatory requirement of the exchange and SEBI from time to time.

I/We further confirm having read and understood the contents of additional Risk Disclosure Documents. I/We have also been informed that the standard set of documents has been displayed for information on Member's designated website, if any.

We confirm that you have agreed to enter orders in commodity options for me/us as your client on NSE only on the basis of our above undertaking.

Thanking You,

Yours faithfully,

\_\_\_\_\_  
Signature of Client  
**VOLUNTARY**

## FORMAT OF BOARD RESOLUTION (ON COMPANY'S/TRUST'S LETTERHEAD)

Extracts of the Minutes of the Meeting of the Board of Directors of <<COMPANY/TRUST NAME>> at its Registered Office at \_\_\_\_\_ on \_\_\_\_\_

“RESOLVED THAT the company/trust may invest / trade in Securities / Derivatives Market and be registered as CLIENT with Atishay Stock Broking Pvt. Ltd., a Member of NSE, for the purpose of dealing/trading in equities, equity derivatives, currency derivatives, commodity derivatives, debentures, debt products in NSE and the said member be and is hereby authorized to honour all instructions oral or written, given on behalf of the Company by any one of the undernoted authorized signatories:-

<<Name of the authorised signatory>> – <<Designation>>

<<Name of the authorised signatory>> – <<Designation>>

who are authorized to sell, purchase, transfer, endorse, negotiate and/or otherwise deal with through Atishay Stock Broking Pvt. Ltd. on behalf of the Company/Trust.

RESOLVED FURTHER THAT <<Authorised Signatory(ies), Designation>> of the Company/Trust be and are hereby <<MODE OF OPERATION i.e., singly/severally/jointly>> authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this resolution.

RESOLVED FURTHER THAT <<Authorised Signatory>> is hereby authorized to submit the above resolution to Atishay Stock Broking Pvt. Ltd.

For

Chairman/Company Secretary

Specimen Signatures of the above noted Authorised Signatory(ies)

Name	Signature

Please Note :

- 1) Board of Resolution must be signed by at least two directors/trustees.
- 2) Attach 'List of Directors/Trustees' as on date

## DECLARATION OF JOINT FAMILY

To  
**ATISHAY STOCK BROKING PVT. LTD.**  
1 R N Mukherjee Road  
Martin Burn House, 4th Floor, Cubicle 11 &12  
Kolkata - 700 001

A/c No. \_\_\_\_\_

As our HUF wishes to open a trading account with your Company in the name of \_\_\_\_\_  
\_\_\_\_\_ we hereby state that the first signatory to this letter,  
i.e. \_\_\_\_\_ is the KARTA of the Joint Family and  
other signatories are the adult co-parceners of the said family.

We further confirm that the business of the said Joint Family is carried on mainly by the said KARTA in the interest and benefit of the entire body of co-parceners of the Joint Family. We all undertake that claims due to the Atishay Stock Broking Pvt. Ltd. from the said family shall be recoverable personally from all or any of us and also from the entire family properties of which the first signatory is the Karta, including the share of minor co-parceners.

In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1932, we have not got our said Family registered under the said Act. We hereby undertake to inform Atishay Stock Broking Pvt. Ltd. of the death or birth of any co-parcener or any change occurring at any time in the membership of our joint Family during the currency of the account

Name and Signature of Karta

1. \_\_\_\_\_ Sd/- \_\_\_\_\_

Names and Signatures of Adult Co-parceners

1. \_\_\_\_\_ Sd/- \_\_\_\_\_

2. \_\_\_\_\_ Sd/- \_\_\_\_\_

3. \_\_\_\_\_ Sd/- \_\_\_\_\_

4. \_\_\_\_\_ Sd/- \_\_\_\_\_

Names and Dates of Birth of minor Co-parceners

1. \_\_\_\_\_ DOB \_\_\_\_\_

2. \_\_\_\_\_ DOB \_\_\_\_\_

**DECLARATION TO BE GIVEN BY PARTNERSHIP ON LETTER HEAD OF THE FIRM**  
**(To be obtained on pre-printed Letter Head of the Firm)**

To  
**ATISHAY STOCK BROKING PVT. LTD.**  
1 R N Mukherjee Road, Martin Burn House  
4th Floor, Cubicle 11 & 12, Kolkata - 700 001

Dear Sir,

We refer to the trading account opened with you in the name of \_\_\_\_\_ and declare and authorise you as under :

We recognize that a beneficiary account cannot be opened with a Depository Participant in the name of a Partnership Firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations, pursuant to the trading operations, we authorise you to recognize the beneficiary account no. \_\_\_\_\_ with depository \_\_\_\_\_ having DP ID \_\_\_\_\_ opened as a joint account in the names of the partners of the firm.

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

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

Instructions: Should be signed by all partners of the firm

**AUTHORITY LETTER IN FAVOUR OF MANAGING PARTNER(S) ON LETTER HEAD OF THE FIRM**  
**(To be obtained on pre-printed Letter Head of the Firm)**

We, the partners of M/s \_\_\_\_\_ a partnership firm, having its office at \_\_\_\_\_ hereby authorise Mr./

Ms. \_\_\_\_\_ and/or Mr./Ms. \_\_\_\_\_ to open a trading account on behalf of the firm with Atishay Stock Broking Pvt. Ltd., a member of NSE for the purpose of dealing/ trading in equities/ equity derivatives / currency derivatives / commodity derivatives. The said Trading Member is hereby authorised to honour all instructions oral or written, given on behalf of the firm by him/her/them.

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

We further undertake that we are the only partners in the firm and are individually and jointly responsible for liabilities thereof. We shall advise you in writing of any change that take place in the partnership and, all the present partners will be liable to you on any obligation which may be standing in the firm's name in your books on the date of the receipt of such notice and until all such obligations shall have been liquidated.

Name of all the Partners	Signature

Specimen Signatures of the above noted Authorized Signatories

Name of the Authorised Signatory	Signature

## DETAILS OF MULTIPLE BANK/DEPOSITORY ACCOUNTS TO BE USED FOR PAYIN/PAYOUT

Dated : \_\_\_\_\_

To  
**ATISHAY STOCK BROKING PVT. LTD.**  
1 R N Mukherjee Road  
Martin Burn House, 4th Floor, Cubicle 11 &12  
Kolkata - 700 001

Dear Sir,

During the course of dealings with you, I/We may use my/our various bank/depository account for payin of funds/securities. The details of the same are as under :

### BANK ACCOUNTS

Sl. No.	Name, Address, Tel No. & Fax No. of the bank	Type of Account	Account No.

### DEPOSITORY ACCOUNTS

Sl. No.	Name of depository (CDSL/NSDL)	Client Name	Client Id	DP Name	DP ID No.

**The relevant proof of aforesaid accounts standing in my/our name are enclosed.**

Further I/We request you to give payout of funds to my/our Bank Account mentioned at Sr. No. \_\_\_\_\_ above and payout of securities to my/our Depository Account mentioned at Sr. No. \_\_\_\_\_ above.

Thanking You.

✓ \_\_\_\_\_  
Signature (with rubber stamp)

# DECLARATION OF ULTIMATE BENEFICIAL OWNERSHIP

(Mandatory For Non-Individuals)

Investor Name \_\_\_\_\_ PAN \_\_\_\_\_

## Part I - LISTED COMPANY / ITS SUBSIDIARY COMPANY [If applicable, Part II Not Applicable]

We hereby declare that the Applicant/ Owner of the controlling interest in the applicant

☐ is a Company listed on a Stock Exchange

☐ is a majority-owned subsidiary of a Company listed on a Stock Exchange

Name of the holding/ parent company (with % share) \_\_\_\_\_

Name of such Listed Company (if not the Applicant itself) \_\_\_\_\_

Stock Exchange where listed \_\_\_\_\_ Security ISIN \_\_\_\_\_

## Part II - OTHER THAN LISTED COMPANY / ITS SUBSIDIARY COMPANY

Name & Address of the Ultimate Beneficial Owner [UBO]	PAN or any other identification proof where PAN not applicable	Country of tax residency	% of beneficial interest in the Applicant	Whether Politically Exposed?	UBO Code (see instruction next page)
(1)					
(2)					
(3)					

If UBO is already KYC compliant, KYC complied proof to be enclosed. Else PAN or any other valid identity proof and address proof must be attached (self certified by the UBO and certified by the Applicant)

## Part III - DECLARATION

We understand that Atishay Stock Broking Pvt. Ltd. is relying on this information for the purpose of determining the beneficial ownership of the account. We certify that the information we provided on this form is true and complete to the best of our knowledge and belief. We agree to submit a new form within 30 days if any information or certification on this form gets changed.	<hr/> <div>Authorised Signatory [with seal]</div> <div>Date :                      Place :</div>
--	--

In case the above information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit.

## GENERAL INFORMATION & INSTRUCTIONS

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

Ultimate Beneficiary Owner [UBO]:

### A. For Investors other than individuals or trusts:

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
  - more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
  - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
  - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

### B. For Investors which is a trust:

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

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

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

### UBO Code Description

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

## FATCA/CRS DECLARATION FORM - FOR NON-INDIVIDUAL

Applicant Name \_\_\_\_\_

### PART I

- A. Is the account holder a Government body/International Organization/listed company on recognized stock exchange:  
☐ Yes ☐ No

If "No", then proceed to point B. If "yes" please specify name of stock exchange, if you are listed company \_\_\_\_\_  
\_\_\_\_\_ and proceed to sign the declaration.

- B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India : ☐ Yes ☐ No

If "yes", then please fill of FATCA/ CRS Self certification Form. If "No", proceed to point C.

- C. Is the account holder an Indian Financial Institution : ☐ Yes ☐ No

If "yes", please provide your GIIN, if any \_\_\_\_\_. If "No", proceed to point D.

- D. Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen : ☐ Yes ☐ No

If "yes", (then please fill FATCA/ CRS self-certification form)). If "No", proceed to sign the declaration.

### CUSTOMER DECLARATION

( ) Under penalty of perjury, I/we certify that :

1. The applicant is:

- (i) An applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District to Columbia or any other states of the U.S.,
- (ii) An estate the income of which is subject to U.S. federal income tax regardless of the source thereof. **(This clause is applicable only if the account holder is identified as a US person)**

2. The applicant is an applicant taxable as a tax resident under the laws of country outside India.

- (i) I/We understand that Atishay Stock Broking Pvt. Ltd. is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. Atishay Stock Broking Pvt. Ltd. is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (ii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- (iii) I/We agree that as may be required by domestic regulators/tax authorities Atishay Stock Broking Pvt. Ltd. may also be required to report, reportable details to CBDT or close or suspend my account.
- (iv) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Name of the Entity \_\_\_\_\_

Signature 1 \_\_\_\_\_ Signature 2 \_\_\_\_\_

Signature 3 \_\_\_\_\_ ( As per MOP)

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

## PART II

### Self-Certification Form (Entity) for Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standards(CRS)

#### Section 1 : Entity information

Name of Entity\_\_\_\_\_

Customer id (if existing)\_\_\_\_\_ Entity Constitution Type\_\_\_\_\_

Entity Identification type : ☐ Tax Identification Number (TIN) ☐ US GIIN ☐ Company Identification Number  
☐ Global Entity Identification Number (EIN) ☐ Other

Entity Identification No.\_\_\_\_\_

Entity Identification issuing country\_\_\_\_\_ Country of Residence for tax purpose\_\_\_\_\_

#### Section 2 : Classification of Non-Financial entities

I/We (on behalf of the entity) certify that the entity is:

a) An entity incorporated and taxable in US (Specified US person) : ☐ Yes ☐ No

*If "Yes", please provide your U.S. Taxpayer Identification Number (TIN)*\_\_\_\_\_

b) An entity incorporated and taxable outside of India (other than US) : ☐ Yes ☐ No

*If "Yes", please provide your TIN or its functional equivalent*\_\_\_\_\_

*Provide your TIN issuing country*\_\_\_\_\_

c) Please provide the following additional details if you are not a Specified US Person :

##### FATCA / CRS classification for Non-financial entities (NFFE)

☐ Active NFFE ☐ Passive NFFE without any controlling Person

☐ Passive NFFE with Controlling Person(s) : US ☐ Others ☐

☐ Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus Atishay Stock Broking Pvt. Ltd. is not required to do the reporting)

Please provide GIIN number :\_\_\_\_\_

#### Section 3 : Classification of financial institutions (including Banks)

I/We (on behalf of the entity) certify that the entity is :

a. An entity is a U.S. financial institution : ☐ Yes ☐ No

*If "Yes", (i) Please provide your Taxpayer Identification Number (TIN)*

*(ii) Please provide GIIN, if any*\_\_\_\_\_

*If "No", please tick one of the following boxes below :*

##### FATCA classification

**Please provide the Global Intermediary Identification number (GIIN) or other information where**

☐ Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement ("IGA") Jurisdiction

\_\_\_\_\_

☐ Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction

\_\_\_\_\_

☐ Participating FFI in a Non-IGA Jurisdiction

\_\_\_\_\_

☐ Non-reporting FI

\_\_\_\_\_

☐ Non-Participating FI

\_\_\_\_\_

☐ Owner-Documented FI with specified US owners

\_\_\_\_\_

## Section 4 : Controlling person declaration

If you are classified as “**Passive NFFE with Controlling Person(s)**” or “**Owner documented FFI**” or “**Specified US person**”, please provide the following details:

Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing country	Controlling person type

Details	Controlling person 1	Controlling person 2	Controlling person 3	Controlling person 4	Controlling person 5
Identification Type					
Identification Number					
Occupation Type					
Occupation					
Birth Date					
Nationality					
Country of Birth					

## Section 5 : Declaration

(i) Under penalty of perjury, I/we certify that :

1. The number shown on this form is the correct taxpayer identification number of the applicant, and
2. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America (“U.S.”) or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof, or
3. The applicant Is an applicant taxable as a tax resident under the laws of country outside India.

(ii) I/We understand that Atishay Stock Broking Pvt. Ltd. is relying on this information for the purpose of determining the status of the applicant named above in compliance with CRS/FATCA. Atishay Stock Broking Pvt. Ltd. is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form gets changed.

(iv) I/ We agree as may be required by Regulatory authorities, Atishay Stock Broking Pvt. Ltd. shall be required to comply to report, reportable details to CBDT or close or suspend my account.

(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.

**I/We hereby confirm that details provided are accurate, correct and complete**

\_\_\_\_\_  
Authorized Signatories and Company Seal (if applicable)

Name \_\_\_\_\_ Date (DD/MM/YYYY) \_\_\_\_\_

Dated : \_\_\_\_\_

From :

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

To

**ATISHAY STOCK BROKING PVT. LTD.**

1 R N Mukherjee Road

Martin Burn House, 4th Floor, Cubicle 11 &12

Kolkata - 700 001

**Ref. : Acknowledgement for the receipt of documents**

Dear Sir,

This is to acknowledge and declare that

- ☐ I/We have received a photocopy of the KYC (full booklet), duly executed with you, to my/our satisfaction including my / our Unique Client Code (Trading Code) at no cost.
- ☐ I/We have (☐ Physically ☐ Electronically) received, read and understood the
  - ☐ Rights & Obligations, Risk Disclosure Documents, Guidance Note.
  - ☐ Rights & Obligations, applicable to SLBS
- ☐ I/We have received, read and understood the Policies and Procedures and agree to abide by the same.
- ☐ The email id noted with you (for ECN and other purposes) is correct.

Thanking you,

Yours truly,

✓ \_\_\_\_\_

Signature of the Client

Client Code \_\_\_\_\_

