

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.

INDEX OF DOCUMENTS		
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1.	Account Opening Form A. KYC form - Document captures the basic information about the constituent and an instruction/check list. B. Additional Information about an individual investor trading in cash segment only [SARAL] If such investors wish to trade in segments other than cash segment and /or wish to avail facilities such as internet trading, running account, margin trading, Power of Attorney etc., they must fill section C below instead. C. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	1 - 6 7 8 - 11
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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.

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

Important Instructions:

- A) Fields marked with "*" are mandatory fields.
 B) Tick '✓' wherever applicable.
 C) Please fill the form in English and in BLOCK letters.
 D) Please fill the date in DD-MM-YYYY format.
 E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.

- F) Please read section wise detailed guidelines / instructions at the end.
 G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 may be obtained from our office.
 H) List of two character ISO 3166 country codes may be obtained from our office.
 I) KYC number of applicant is mandatory for update application.
 J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode.



For office use only

Application Type*	<input type="checkbox"/> New	<input type="checkbox"/> Update
(To be filled by financial institution)	KYC Number	(Mandatory for KYC update request)
Account Type*	<input type="checkbox"/> Normal	<input type="checkbox"/> Minor
	<input type="checkbox"/> Aadhaar OTP based E-KYC (in non-face to face mode)	

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

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				
Date of Birth*	DD - MM - YYYY			
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
PAN*		<input type="checkbox"/> Form 60 furnished		

☐ **2. PROOF OF IDENTITY AND ADDRESS*** (Please refer instruction B 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*										
Line 2										
Line 3										
District*		Pin/Post Code*		State/U.T Code*		City / Town / Village*		ISO 3166 Country Code*		

☐ **3. CURRENT ADDRESS DETAILS** (Please refer instruction B at the end)

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

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

- ☐ A- Passport Number
- ☐ B-Voter ID Card
- ☐ C- Driving Licence
- ☐ D-NREGA Job Card
- ☐ E- National Population Register Letter
- ☐ F - Proof of Possession of Aadhaar
- II ☐ E-KYC Authentication
- III ☐ Offline verification of Aadhaar
- IV ☐ Deemed Proof of Address - Document Type code
- 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*		

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

[illegible]

☐ 5. REMARKS (If any)

6. APPLICANT DECLARATION

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

[illegible]

Signature / Thumb Impression of Applicant

7. 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 ☐ Video Based KYC

IPV and KYC VERIFICATION CARRIED OUT BY

[illegible]

INSTITUTION DETAILS

Name	ATISHAY STOCK BROKING PVT. LTD.					
Code						

[Institution Stamp]

**Important Instructions:**

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

For office use only

Application Type*

☐ New ☐ Update ☐ Delete

(To be filled by financial institution) KYC Number

(Mandatory for KYC update request)

1. DETAILS OF RELATED PERSON (Please refer instruction D & E at the end)
☐ Addition of Related Person ☐ Deletion of Related Person ☐ Updation KYC Number of Related Person (if available*)

Related Person Type*

☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name*

Prefix

First Name

Middle Name

Last Name

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

Maiden Name

Father / Spouse Name

Mother Name

Date of Birth*

DD - MM - YYYY

Gender*

☐ M- Male☐ F- Female☐ T-Transgender

PAN*

☐ Form 60 furnished**2. PROOF OF IDENTITY AND ADDRESS***

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*

Line 2

Line 3

District*

Pin / Post Code*

State / U.T Code*

City / Town / Village*

ISO 3166 Country Code*

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

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

- ☐ A- Passport Number
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- ☐ 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
- IV ☐ Deemed Proof of Address - Document Type code
- V ☐ Self Declaration

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

Signature /Thumb Impression of Applicant

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

Date	DD	MM	YY
Emp. Name			
Emp. Code			
Emp. Designation			
Emp. Branch			

[Employee Signature]

Name	ATISHAY STOCK BROKING PVT. LTD.							
Code								

[Institution Stamp]

A Clarification / Guidelines on filling ‘Personal Details’ section

- 1 Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory : Mother’s name, Spouse’s name, Father’s name.

B Clarification / Guidelines on filling ‘Current Address details’ section

- 1 In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR.
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
- 6 List of documents for ‘Deemed Proof of Address’:

Document Code	Description
---------------	-------------

- | | |
|----|---|
| 01 | Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill). |
| 02 | Property or Municipal tax receipt. |
| 03 | Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address. |
| 04 | Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation. |

- 7 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.
- 8 “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.
- 9 ‘Digital KYC process’ has to be carried out as stipulated in the PML Rules, 2005.
- 10 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.

C Clarification / Guidelines on filling ‘Contact details’ section

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

D Clarification / Guidelines on filling ‘Related Person details’ section

- 1 Provide KYC number of related person, if available.

E Clarification on Minor

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only.
- 2 However, in case guardian details are available for minor above 10 years of age. the same (or CKYCR number of guardian) is to be uploaded.

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

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

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

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

D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, 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:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, 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.

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.

SARAL ACCOUNT OPENING FORM FOR RESIDENT INDIVIDUALS TRADING IN CASH SEGMENT ONLY

1. BANK ACCOUNT DETAILS

Bank Name : _____
Branch Address : _____
Bank Account No. : _____ Account Type : ☐ Saving ☐ Current
MICR Number : _____ IFSC code : _____

2. DEMAT ACCOUNT DETAILS (In case the client does not have DP account, this column may be crossed)

Depository Participant Name : _____
Depository Name : ☐ NSDL ☐ CDSL
Beneficiary Name : _____
DP ID : _____ Beneficiary ID (BO ID) : _____

3. Whether DP Account is also to be opened with the same intermediary : ☐ Yes ☐ No

4. TRADING PREFERENCES : Please sign the relevant boxes where you wish to trade.

Exchange	Signature	Exchange	Signature
<input type="checkbox"/> National Stock Exchange of India Ltd.		<input type="checkbox"/> BSE Ltd.	

5. Mode of receiving Contract Note / Statement of Account : (Please indicate your preference. Any change in the E.mail ID shall be communicated by the Client through a physical letter to us.)

☐ Physical ☐ Electronic

6. Standing instructions to receive credits automatically into my BO account : ☐ Yes ☐ No

7. NOMINATION DETAILS

Name of the Nominee : _____
PAN of Nominee : _____ Date of Birth of Nominee : _____
Address and Phone No. of the Nominee : _____

Relationship with the Nominee : _____

If Nominee is a minor, details of guardian :

Name of guardian : _____
Address and Phone No. of Guardian : _____

Signature of guardian : _____

I have understood the contents of policy and procedures document, tariff sheet, 'Rights and Obligations' document and 'Risk Disclosure Document'. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for information on stock broker's designated website.

Date : _____ (dd/mm/yyyy)

Signature of the Applicant

Declaration in case In case the proof of address furnished by the said investor is not the address where the investor is currently residing :

I hereby declare that I do not have proof of address of the place I am currently residing. I have enclosed the proof of my Permanent Address, but request you to send all correspondence to my current Residential address only.

Date : _____ (dd/mm/yyyy)

Signature of the Applicant

MANDATORY

TRADING ACCOUNT RELATED DETAILS - For Individuals (other than using SARAL Form)

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 :

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 :

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 : _____

I. NOMINATION DETAILS (for individuals only)

☐ I/We wish to nominate ☐ I/We do not wish to nominate

Name of the Nominee : _____

Relationship with the Nominee : _____

PAN of Nominee : _____ Date of Birth of Nominee : _____

Address and Phone No. of the Nominee : _____

If Nominee is a minor, details of guardian :

Name of guardian : _____

Address and Phone No. of Guardian : _____

Signature of guardian : _____

WITNESSES (Only applicable in case the account holder has made nomination)

Name : _____ Name : _____

Signature : _____ Signature : _____

Address : _____ Address : _____

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

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"/>
Delivery Brokerage	<input type="text"/>	<input type="text"/>	Brokerage in Options	<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"/>	Brokerage in Futures	<input type="text"/>	<input type="text"/>
Brokerage in Options	<input type="text"/>	<input type="text"/>	Brokerage in Options	<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 9 Section G) , applicable with immediate effect.

Further:

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

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 : _____

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

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)

FATCA/CRS DECLARATION FORM - FOR INDIVIDUAL

Applicant Name _____

PART I - Please fill in the country for each of the following :

1. Country of :
 - a) Birth _____ b) Citizenship _____
 - c) Residence for Tax Purposes _____
2. US Person* : ☐ Yes ☐ No

PART II - Please note :

- a. If in all fields above, the country mentioned by you is India and if you do not have US person status, please proceed to **Part III** for signature.
- b. If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent** as issued in the specific country in the table below :

i) TIN _____	Country of Issue _____
ii) TIN _____	Country of Issue _____
iii) TIN _____	Country of Issue _____
- a. In case any of the parameters in **Part I** indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in **Part IV**.
- b. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate

Please also fill **Part IV** Self-Certification.

PART III - Customer Declaration (Applicable for all customers)

- (i) 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 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. **(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. **(This clause is applicable only if the account holder is a tax resident outside of 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 FATCA/CRS. 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 becomes incorrect.
- (iv) 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.
- (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 taxpayer identification number of the applicant.

Signature : _____

Name : _____ Date (DD/MM/YYYY) : _____

PART IV - Self-Certification :

To be filled only if-

- (a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or
- (b) US person is mentioned as Yes in Part I, and TIN is not available

I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.

Signature

Document Proof submitted (Please tick document being submitted)

☐ Passport ☐ Election Id Card ☐ PAN Card ☐ Driving License ☐ UIDAI Letter ☐ NREGA Job Card ☐ Govt. Issued ID Card

*** U.S. Person** means,

- (a) an individual, being a citizen or resident of the United States of America;
- (b) a partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof;
- (c) a trust if,-
 - (i) a court within the United States of America would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust; and
 - (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust; or
- (d) an estate of a decedent who was a citizen or resident of the United States of America;

**** Functional Equivalent of TIN**

Many countries do not issue TIN to their taxpayers. However, such countries issue some other high integrity number with an equivalent level of identification (a functional equivalent). Examples of such numbers are-

- Social Security Number
- National Insurance Number
- Citizen Or Personal Identification Code Or Number
- Resident Registration Number

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 _____

