

S. No.	Name of the Document	Brief Significance of the Document	Part	Page No	
				From	To
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES					
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list for individual & non individual	A	1	11
		B. Document captures the additional information about the constituent relevant to trading & demat account and an instruction/check list.			
2	DP - BO Agreement	Agreement Between A Participant And A Person seeking To Open A Beneficial Owner's Account	A	12	13
3	Power of Attorney	Limited POA for making pay-in of securities	A	14	14
4	Acknowledgment letter	Acknowledgment indicating receipt of documents by client.	A	23	23
5	Tariff Schedule	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	A	24	25
6	Rights and Obligations	Document stating the Rights & Obligations of stock broker / Trading Member, Sub-Broker & Client for Trading on Exchanges (Including additional rights & obligations incase of internet / wireless technology based trading)	B	1	5
7	Risk Disclosure Document	Document detailing risks associated with dealing in the securities market.	B	6	8
8	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	B	9	10
9	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	B	11	13
10	Rights and Obligations for (DP)	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	B	15	17
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER					
11	SMS Alerts -Annx. 2.4	Terms & Conditions For receiving SMS Alerts form CDSL- Annexure 2.4	A	15	17
12	Trust Annx. 2.6	Transaction using secured trading - Annexure 2.6	A	18	19
13	Authorization for running account / request letter	Letter of authority / request to Shilpa Stock Broker Pvt. Ltd.	A	20	20
14	Authority Letter	This document allows the client to give authority for placing / giving / executing orders on his / her behalf to another person and acceptance of the same by another person.	A	21	21
15	Internet Trading Letter	Letter for using on-line internet trading facility	A	22	22
16	Intimation of Money Laundering	This Documents is to make the client aware of Anti Money Laundering (PMLA) provisions.	B	14	14
Name of Stock Broker/ Trading Member		SHILPA STOCK BROKER PVT. LTD.			
SEBI Regn. No. NSE (Clearing no. 10574)		INF (Rg. dt.-03/08/05) / INE (Rg.dt.-03/11/08) / INB (Rg. dt.- 28/11/ 2000) - Rg. No. 231057432			
SEBI Regn. No. BSE (Clearing No. 608)		INF (Rg.dt.- 19/02/07) / INB (Rg.dt. - 03/06/1999) - Rg. No. 011057438			
SEBI Regn. No. MCX-SX (Clearing No. 83700)		INF (Rg. dt. - 09/05/13) / INE (Rg.dt.- 11th July 2013) / INB (Rg.dt. - 9th May 2013)- Rg. No. 261057435			
SEBI Regn. No. CDSL & DP ID		IN-DP-CDSL-160-2001. DPID: 12025700			
Registered Office		Natwar Chamber, 1st flr., 94, Nagindas Master Road, Fort, Mumbai - 400001.			
		Tel.: 4032 4300	Fax : 91- 22 - 2262 3957	Website : www.ssbpl.net	
Correspondence office address		Tamrind House, 3rd Floor, Tamrind Lane, Fort, Mumbai 400 001			
Phone No.		Tel. : 4032 4300	Fax 91 - 22 - 3028 4340	Website : www.ssbpl.net	
Clearing Member Name for Currency Derivative Segment		Axis Bank Ltd.			
SEBI Registration No.		INE231308037(NSE Currency)			
Address		Universal Insurance Building, Grd. Flr., Sir P. M. Road, Fort,			
Compliance officer Name (BSE&NSE)		Mr. Nitin Shah	Tel No. 022 - 4032 4358	Email : nitin@ssbpl.net	
Compliance officer Name (CDSL-DP)		Ms. Pooja Jasani	Tel No. 022 - 4032 4355	Email : poojai@ssbpl.net	
CEO Name		Mr. Rakesh Nahar	Tel No. 022 - 4032 4361	Email : rakesh@ssbol.net	

Note: For any grievance/dispute please contact us at the above address or Email ID :response@ssbpl.net and Tel No. 91 -22- 4032 4300. In case not satisfied with the response, please contact the Investor Service Cell of Bombay Stock Exchange Limited at is@bseindia.com and Tel. No. 91-22-22728097 and/or Investor Service Sell of National Stock Exchange of India Limited at ignse@nseindia.co.in and Tel. No. 91-22-26598190 and/or MCX Stock Exchange Ltd at customerservice@mcx-sx.com and Tel. No. 91-22-67319010

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (FOR INDIVIDUAL)

A. IMPORTANT POINTS:

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

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

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

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

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

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or 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 authorized to attest the documents:

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

F. 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.

G. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code and IFSC Code of the bank should be submitted.

H. Demat master or recent holding statement issued by DP bearing name of the client.

I. 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.

J. Minor

- 1) PAN card of minor as well as guardian is Mandatory.
- 2) Proof of address and identity documents of the Guardian(as per Individual check list) both Minor and guardian's photographs and Guardian to sign across both Photographs.
 - 1) Date of Birth Certificate duly notarizes.
 - 2) Bank Details of Minor with valid proof per Individual's Check list
 - 3) MINOR Stamp required to be affixed wherever the guardian signs on the agreement/KYC

K. HUF (In individual form for Opening Demat account)

- 1) PAN CARD of HUF and Karta's is Mandatory.
- 2) Identity proof of the Karta and address proof to the karta.(as per INDIVIDUAL Check list).
- 3) Photocopy of cheque leaf of bank account number mentioned on the form to verify the bank MICR No.
- 4) Bank Details of HUF with valid proof as per Individual's Check list.
- 5) HUF Declaration is Mandatory
- 6) HUF Bank Details and valid proof as per Individual's Check list
- 7) HUF Stamp required to be affixed wherever the Karta signs on the agreement/KYC

L. NRI

- I. PAN Card is Mandatory
- II. Proof of Identity (copy of passport/driving license).
- III. Bank account details with valid proof as per Individual's check list.
- IV. Power of Attorney, if any.
- V. A declaration duly signed by the NRI that he/she has complied with, and will continue to comply with, FEMA regulations and other applicable laws.
- VI. Proof of foreign address and Indian address (if any). [In the case of an NRI A/c without repatriation, proof of Indian address has to be given]. In case of foreign address, the address containing Post Office Box Number (P.O. Box. No.) may be accepted as valid address provided such P.O. Box No. is mentioned in the valid proof of address documents. The address with P.O. Box No. may be accepted as Permanent and/or Correspondence address. In such cases, additionally the DPs shall obtain the complete residential address of the NRI BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.

Note: In case of more than one holder KRA for other holders is mandatory

SHILPA STOCK BROKER PVT. LTD. Is Engaged in Client based business and proprietary trading as well.

This disclosure is made in pursuance of SEBI Circular No.
SEBI/MRD/SE/CIR-42/2003 Dated NOVEMBER 19,2003

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (FOR NON - INDIVIDUALS)

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

Note : 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.

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Status (For Non - Individual)		Sub - Status										
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FI <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (specify)		To be filled by the DP										
SEBI Registration No. (If Applicable) <input type="text"/>		SEBI Registration date <input type="text"/>										
ROC Registration No. (If applicable) <input type="text"/>		ROC Registration date <input type="text"/>										
RBI Registration No. (If applicable) <input type="text"/>		RBI Approval date <input type="text"/>										
Nationality : <input type="checkbox"/> Indian <input type="checkbox"/> Others (Specify) _____												
Details of Guardian (In case the account holder is minor)												
Guardian's name <input type="text"/>		PAN <input type="text"/>										
Relationship with the applicant <input type="text"/>												
I / We request you to send Electronic Transaction-cum-Holding Statement at Email ID <input type="text"/>		<input type="checkbox"/> Yes <input type="checkbox"/> No										
I/We instruct the DP to receive each and every credit in my/our account. (If not marked, the default option would be 'YES')		[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No										
Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly												
Do you wish to receive dividend / interest directly into your bank account given below through ECS? (If not marked, the default option would be 'YES') [ECS is mandatory for locations notified by SEBI from time to time]		<input type="checkbox"/> Yes <input type="checkbox"/> No										
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')		<input type="checkbox"/> Yes <input type="checkbox"/> No										
I/ We would like to share the email ID with the RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No										
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)												
SMS Alert Facility Refer to terms & conditions given as Annexure 2.4		MOBILE NO. : +91 <input type="text"/> [(Mandatory, if you are giving Power of Attorney (POA))] (if POA is not granted & you do not wish to avail of this facility, cancel this option)										
Transaction Using Secured Texting facility (TRUST). Refer to Terms and Conditions Annexure – 2.6		I wish to avail the TRUST facility using the Mobile Number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDS Under my/our below mentioned BO ID registered for TRUST. <table border="1"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> <tr> <td><input type="text"/></td> <td><input type="text"/></td> <td><input type="text"/></td> </tr> </tbody> </table>		Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)										
<input type="text"/>	<input type="text"/>	<input type="text"/>										
<input type="text"/>	<input type="text"/>	<input type="text"/>										
Easi		To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.										

 Client's Signature 2/26 

1st Holder

 2nd Holder
(For Demat Account only)

 3rd Holder
(For Demat Account only)

BANK ACCOUNT DETAILS (Dividend Bank Details For Trading and Demat Account)

Bank Code (9 Digit MICR Code)		IFSC code	
Bank Name			
Branch			
Bank Address			
City	State	Country	Pin Code
Account No.	Account Type : Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) <input type="checkbox"/>		
(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued,(or) (ii) Photocopy of the bank Statement having name and address of the BO and not more than 4 months old,(or) (iii) Photocopy of the Passbook having name address of the BO.(Or), (iv) Letter from the bank. *In case of option (ii),(iii) and (iv) above ,MICR code of the branch should be present / mentioned on the document and it should be self - certified by the BO.			

DEPOSITORY ACCOUNT(S) DETAILS (FOR TRADING ACCOUNT)

DP Name		
DP ID		
Client Name		
Client ID		
Depository	NSDL / CDSL	NSDL / CDSL
DP Address		

TRADING PREFERENCE (FOR TRADING ACCOUNT)

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

Exchange Segment	NSE		BSE		MCX-SX	
Cash	3/26 <input checked="" type="checkbox"/>		4/26 <input checked="" type="checkbox"/>		5/26 <input checked="" type="checkbox"/>	
F & O	6/26 <input checked="" type="checkbox"/>		7/26 <input checked="" type="checkbox"/>		8/26 <input checked="" type="checkbox"/>	
Currency Derivatives	9/26 <input checked="" type="checkbox"/>		10/26 <input checked="" type="checkbox"/>	NA		

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter have to be submitted by client to the stock broker..

PAST ACTIONS (FOR TRADING ACCOUNT)

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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DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS (FOR TRADING ACCOUNT)

If client is dealing through the sub-broker, provide the following details:			
Sub-broker's Name:			
Registered office address:	NSE SEBI Regn. No.:		
	BSE SEBI Regn. No.:		
	Tel.:		
	Fax:		
	Website :		
Whether dealing with any other stock broker/sub-broker (in case dealing with multiple stock brokers/sub-brokers, provide details)			
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:			

Client's Signature 11/26 

1st Holder

2nd Holder
(For Demat Account only)

3rd Holder
(For Demat Account only)

ADDITIONAL DETAILS (FOR TRADING ACCOUNT)

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (<i>please specify</i>):	<input type="checkbox"/> Electronic Contract Note <input type="checkbox"/> Physical
Specify your Email id, if applicable: Primary email Id, Secondary email Id	
Whether you wish to avail of the facility of internet trading/ wireless technology (<i>please specify</i>):	<input type="checkbox"/> Yes <input type="checkbox"/> No
Number of years of Investment/Trading Experience:	
In case of non-individuals, name, designation, PAN, UID, signature, residential address & photographs of persons authorized to deal in securities on behalf of company/firm/others:	As Per Annexure Attached
Any other information:	

INTRODUCER DETAILS (optional) (FOR TRADING ACCOUNT)

Name of the Introducer	
Status of the Introducer:	<input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others, <i>please specify</i> _____
Address and Tel No of the Introducer	
Introducer's Signature	

NOMINATION DETAILS (Mandatory For Trading and Demat Account)

Nomination Registration No. _____	Dated	D	D	M	M	Y	Y	Y	Y
I/We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that :									
<input type="checkbox"/> I/We do not wish to nominate any one for this demat account : [Strike out what is not applicable.] [Signature of all account holders should be obtained on this form.]									
<input type="checkbox"/> I/We nominate the following person who is entitled to receive security balances lying in my/our account particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.									
Name of the nominee									
PAN of Nominee									
Date of Birth (if nominee is a minor)	D	D	M	M	Y	Y	Y	Y	
UID (Aadhar No.)									
Address					State				
City					Pin				
Country					Fax No.				
Telephone No.									
Relationship with BO (if any)									
Email ID									

As the nominee is a minor as on date, to receive the securities in this account on behalf of the nominee in the event of the death of the Sole Holders, I/We appoint following person to act as Guardian :

Full Name of the Guardian of Nominee									
Address									
City					State				
Country					Pin				
Telephone No.									
Fax No.									
E-mail ID					Relationship with BO (if any)				
Signature of Guardian									

This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us. Note : Two witnesses shall attest signature (s) Thumb Impression(s)

Details of the witness	First Witness	Second Witness
Name of witness		
Address of witness		
Signature of witness		

Client's Signature 12/26 

1st Holder

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2nd Holder
(For Demat Account only)

3rd Holder
(For Demat Account only)

INTENTIONALLY LEFT BLANK

DECLARATION FOR TRADING AND DEMAT ACCOUNT

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/we am/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.
4. I/We have read the terms and conditions DP-BO agreement & agree to abide by and be bound by the same and by the Bye Laws as are in force from time to times. I/We declare that the particulars given by me/us above are true and the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details/Particulars mentioned by me/us in this form. I/We further agree that any false/misleading information given by me/us or suppression of any material information will rendered my account liable for termination and suitable action.

	Sole/First Holder/ Authorised Signatory Guardian (In case of Minor)	Second Holder / Authorised Signatory (For Demat Account Holder)	Third Holder /Authorised Signatory (For Demat Account Holder)
Name			
Designation (For Non-Individual)			
Signature 13/26			

Date : _____ Place _____
(*In case of more authorised Signatories, Plz. add annexure)

FOR OFFICE USE ONLY

Unique Client Code (UCC) 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			

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 Shilpa Stock Broker Pvt. Ltd.

-----Tear from here-----

ACKNOWLEDGEMENT RECEIPT

Date :

Application No.

We hereby acknowledge the receipt of the Account Opening Application Form:

Name of the Sole / First Holder	<input type="text"/>
Name Of the Second Joint Holder	<input type="text"/>
Name of the Third Joint Holder	<input type="text"/>

For SHILPA STOCK BROKER PVT. LTD.

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date:

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

DP ID										Client ID						
Name of the Sole / First Holder																
Name Of the Second Joint Holder																
Name of the Third Joint Holder																

To,
 Shilpa Stock Broker Pvt Ltd.,
 Natwar Chamber. 1st Floor,
 94, Nagindas Master Road,
 Fort, Mumbai - 400 001

Dear Sir / Madam

I / We hereby state that

☐ **OPTION 1 :** [Select one of the options given below]

I / We require you to issue Delivery Instruction Slip (DIS) Booklet to me / us immediately on opening my / our CDSL account though I / We have issued a Power of Attorney (POA) / executed PMS agreement favour of / with _____ (name of the Attorney/Clearing Member / PMS manager) for executing delivery instruction for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

Yours faithfully

	First / Sole Holder	Second / Joint Holder	Third / Joint Holder
Name			
Signatures 14/26			

OR

☐ **OPTION 2 :**

I / We do not require the Delivery Instruction Slip (DIS) Booklet for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with _____ (name of the attorney/Clearing Member / PMS manager) for executing delivery instruction for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

	First / Sole Holder	Second / Joint Holder	Third / Joint Holder
Name			
Signatures 14/26			

-----Tear from here-----

Received OPTIONS FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from:

DP ID										Client ID						
Name of the Sole / First Holder																
Name Of the Second Joint Holder																
Name of the Third Joint Holder																

For **SHILPA STOCK BROKER PVT. LTD.**

**AGREEMENT BETWEEN A PARTICIPANT AND A PERSON SEEKING
TO OPEN A BENEFICIAL OWNER'S ACCOUNT**

This Agreement is made and executed at Mumbai this _____ day of _____ 20____ between **Shilpa Stock Broker Pvt. Ltd.** having its Corp. Office at 3rd floor, 'B' Wing, Tamrind House, Tamrind Lane, Fort, Mumbai - 400 001., And processing office at 101-104, 1 floor, 7, Mangoe Lane, Kolkatta - 700 001 hereinafter called "The Participant" of the One Part;
AND

(Description of the legal entity)
having his/its office/registered office address at

hereinafter called "The Beneficial Owner" of the Other Part. Whereas the Beneficial Owner is desirous of opening a beneficial owner's account with the Participant and the Participant has agreed to open an account in the name of the Beneficial Owner and render services to the Beneficial Owner as a participant, on the terms and conditions recorded herein below:

NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERETO AS FOLLOWS:

1. General Clause

The parties hereto agree to abide by the provisions of the depositories act, 1996, SEBI (Depositories and Participants) Regulations. 1996. Bye Laws and Operating Instructions issued by CDSL from time to time in the same manner and to the same extent as if the same were set out herein and formed part of this Agreement.

2. Fees, Charges and deposits

The Participant shall be entitled to change or revise the fees, charges or deposits from time to time provided however that no increase therein shall be effected by the Participant unless the Participant shall have given at least one month's notice in writing to the Beneficial Owner in that behalf. In case the Beneficial Owner committing a default in the payment of any such amount payable to the Participant on their respective due dates or within fifteen days of the same being demanded (where no such due date is specified), the Participant shall be entitled to charge interest on the amount remaining outstanding or unpaid (not exceeding 18%) per annum or part thereof. On such continued default, the Participant after giving two days notice to the Beneficial Owner shall have a right to stop processing of instructions of Beneficial Owners till such time he makes the payment along with interest if any.

3. Statement of Account

3.1 The Participant shall furnish to the Beneficial Owner a statement of his/its account at the end of every month if there has been even a single entry or transaction during that month, and in any event once at the end of each quarter. [the statement of account to be provided to the Beneficial Owner under this Agreement shall be in the form specified in operating Instruction

or as communicated by CDSL from time to time] The Participant shall furnish such statements at such shorter periods as may be required by the Beneficial Owner on payment of such charges by the Beneficial Owner as may be specified by the Participant.

3.2. It is agreed that if Participant is providing the services of issuing the statement of account in an electronic mode and if the beneficial owner is desirous of availing such services from the participant, than participant will furnish to the Beneficial Owner the statement of accounts under its digital signature, as governed under the Information Technology Act, 2000. Provided however that in the event of the Beneficial Owner requiring a physical copy of the statement of accounts, despite receiving the same in the electronic mode, than irrespective of Having Forwarded the same via electronic mode, the Participant shall be obliged to provide a physical copy thereof to the BO.

3.3 It agreed understood between the parties that parties if the participant does not have the facility of providing the statement of account only in physical form.]

4. Beneficial Owner shall Intimate change of particulars.

The Participant shall not be liable or responsible for any loss that may be caused to the Beneficial Owner by reason of his/its failure to intimate change in the particulars furnished to the Participant from time to time, unless notified by the Beneficial Owner.

5. Participant not liable for claims against Beneficial Owner

CDSL shall not be liable to the Beneficial Owner in any manner towards losses, liabilities and/or expenses arising from the claims of third parties or for any fees, charge, taxes, duties, levies or penalties levied, Imposed or demanded by any Central, State, statutory or revenue authority in respect of securities credited to the Beneficial Owner's account.

6. Authorised Representative

Where the Beneficial Owner is a body corporate or a legal entity, it shall, simultaneously with the execution of the Agreement furnish to the Participant, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

7. Termination

The parties may at any time terminate this agreement, provided that a notice of not less than thirty days is given in the manner and on the terms and conditions and procedure set out in the Bye Laws and the Operating Instructions. In the event of termination by either party. the participant shall deal with the securities lying in the account of a Beneficial Owner in accordance with the instruction of such Beneficial Owner.

8. Stamp Duty

Any stamp duty (including interest or penalty levied thereon) payable on the Agreement and/or on any deed, document or writing executed in pursuance hereof between the parties hereto shall be borne and paid by the Beneficial Owner.

Client's Signature 15/26

Client's Signature 16/26

1st Holder

12

2nd Holder

3rd Holder

9. Force Majeure

Notwithstanding anything contained herein or in the Bye Laws, neither party hereto shall be liable to indemnify or compensate the other for any breach, non-performance or delay in performance of any obligations under the Agreement of for any harm, loss, damage or injury caused to the other due to causes reasonably beyond its control including but not limited to tide, storm, cyclone, flood, lightning, earthquake, fire, blast, explosion or any other act of God, war, rebellion, revolution, insurrection, embargo or sanction, blockade, riot, civil commotion, labour action or unrest including strike, lock-out or boycott, interruption or failure of any utility service, enemy action, criminal conspiracy act of terrorism or vandalism, sabotage or intrusion or any other irresistible force or compulsion.

10. Service of Notice.

Any notice or communication required to be given under this Agreement shall be in writing, and shall be legally effective only when it is delivered to the addressee at the last known address in the manner prescribed in the operating instructions.

11. Arbitration

That parties hereto shall, in respect of all disputes and differences that may arise between them, abide by the provisions relating to arbitration and conciliation specified under the Bye Laws.

12. Jurisdiction

The Parties hereto agree to submit to the exclusive jurisdiction of the courts in _____.

13. Governing Law

The Agreement shall be governed by and construed in accordance with the laws in force in India.

IN WITNESS WHEREOF the parties hereto have hereunto set and subscribe their respective hands/seals to his Agreement in duplicate on the day, month, year and place first hereinabove mentioned.

Signed and delivered by Client with company seal

Name of the First Holder : _____

Signature : 17/26  _____

Name of Second Holder : _____

Signature : _____

Name of Third Holder : _____

Signature : _____

In the presence of Witness

Name _____

Signature _____

Signed and delivered by Participant

For **SHILPA STOCK BROKER PVT. LTD.**

Authorised Signatory

In the presence of Witness

Name _____

Signature _____

POWER OF ATTORNEY

To all to whom these presents shall come I/We _____, (name of the beneficial owner/s), residing at/having its registered office at _____, send greetings.

Whereas I hold beneficial owner account no. 12025700 _____ (Bo-ID) with Central Depository Services (India) Limited (CDSL), Shilpa Stock Broker Pvt. Ltd. bearing DP-ID 25700.

And Whereas I/We am/are investor engaged in buying and selling of securities through **Shilpa Stock Broker Pvt. Ltd.** A member of **BOMBAY STOCK EXCHANGE LTD.** Bearing SEBI Registration no. **INB011057438**, a Member of **National Stock Exchange India Ltd.** bearing SEBI registration No. **INB231057432** and member of MCX Stock Exchange Ltd. Bearing SEBI Registration no. **INB261057432**.

And Whereas I/We am/are desirous of appointing Shilpa Stock Broker Pvt. Ltd. as my/our constituted attorney to operate my/our beneficial owner account on my/our behalf for a limited purpose in the manner hereinafter appearing and subject to conditions as provided herein.

Now know We all and these presents witness that I/We do hereby nominate, constitute and appoint **Shilpa Stock Broker Pvt. Ltd.** (hereinafter referred to as "the stock broker") as my true and lawful attorney and authorize it to perform the following functions on my behalf:

I. To transfer securities held in my/our aforementioned owner account(s) or any other account informed by me in writing to the stock broker from time to time to the demat account nos **I202570000000063 & IN652994 IN300484 (BSE POOL) 1202570000000082 & IN560530 IN300484 (NSE POOL)** and margin account no. **I202570000000308** or any other a/c mentioned for the purpose of settlement of trades executed by me/us on any recognized stock exchange through the stock broker. However, the said power will be restricted to only transfer of securities to the Clearing Member ID allotted to the stock broker by any existing or future exchange that the stock broker has joined/will join as a member or to any demat accounts linked to the said Clearing Member ID provided that I/We have executed a Client Member Agreement with the stock broker for such exchanges.

ii To return to me/us, the securities that may have been received by the stock broker erroneously or those securities that the stock broker was not entitled to receive from me/us.

I/We further agree and confirm that the powers and authorities conferred by this Power Of Attorney shall continue until it is revoked (without notice) in writing by me and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker at its corporate office at 3rd floor, Tamrind House, Tamrind Lane, Fort, Mumbai - 400 001.

SIGNED AND DELIVERED

By the within named Beneficial Owner/s with company seal

1st Holder 19/26 _____

2nd Holder _____

3rd Holder _____

IN THE PRESENT OF

1 Witness _____

2 Witness _____

I Accept _____

Shilpa Stock Broker Pvt. Ltd.

FAMILY MEMBERS'S DETAILS (Only For HUF Account)

Sr. No.	Name	Signature

Annexure 2.4

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL.

Definitions :

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act, 1956 and having its registered office at 17th floor, P. J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per terms and conditions.

Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts :

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and / or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as an promotional, getting or any other message that the depository may consider appropriate, to the BO. The BO agree to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in**

writing of any unauthorized debit to his BO account / unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to / transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.

7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Annexure - A

Fees :

Depository reserves the right to change such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer :

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warrant the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use / misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:

Providing the service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I / We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purpose of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/We further undertake to pay fee / charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I / We am / are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I / We provide the following information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable).

1	2	0	2	5	7	0	0								
----------	----------	----------	----------	----------	----------	----------	----------	--	--	--	--	--	--	--	--

(Please write your 8 digit Client ID)

[illegible][illegible][illegible]

+91

(Please write only the mobile number without prefixing country code or zero)

[illegible]

(Please write only ONE valid email ID on which communication; if any, is to be sent)



Third Holder

Date : | | D | M | M | Y | Y | Y | Y

Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL

1. Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
 - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time . . Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
 5. The BO agrees that SMS received by the Depository from

the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.

6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP .
10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties
12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.

13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. Indemnity:
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. Disclaimer:
Depository shall be absolved of any liability in case:-
 - a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
 - b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
 - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility. .



VOLUNTARY

CONNECTING INVESTORS TO PROSPERITY

Date:

Shilpa Stock Broker Pvt. Ltd.,
 Natwar Chamber, 1st floor,
 94, Nagindas Master Road,
 Fort, Mumbai 400 001

Dear Sir,

Sub.:- Running Account Authorization Letter / Request to Shilpa Stock Broker Pvt. Ltd.

I/We, the undersigned, have opened the client / constituent account with Shilpa Stock Broker Pvt. Ltd. (herein referred to as "SSBPL") for trading / dealing in securities on the Bombay Stock Exchange Limited (BSE) and / or National Stock Exchange of India Limited (NSE) and / or MCX Stock Exchange Ltd (MCX-SX). In respect of my/our dealing / account with you, I/We hereby request / instruct and authorize Shilpa Stock Broker Pvt. Ltd. to do the followings:-

1. To accept verbal instructions for placement / modification / cancellation of orders. Further, I/We expressly agree that once the trade confirmation is sent by you and/or contract note is accepted by me/us.
2. To maintain a running account instead of settlement of my dues and/or delivery of securities on a bill-to-bill /settlement-to-settlement basis.
3. To retain the securities received by SSBPL on my/our behalf from Exchange(s) on pay-out or otherwise against my/our debit balance/ dues/ exposure/ trading limits/ open interest/ various margins or for any other purpose as and when required by SSBPL or as per any regulations of BSE and/ or NSE and / or MCX-SX. Such retaining / holding of securities shall be construed as due compliance of the requirement of exchange(s) and SEBI. Further, SSBPL has the sole discretion and authority (i) to use / Transfer the above securities to the clearing corporation/ clearing member/ exchange(s) for the purpose of early pay-in / margin or for any other purpose; (ii) to dispose/ sell the above securities to meet any monetary / other dues/obligation(s) not fulfilled by me towards SSBPL/ the exchange(s).
4. To hold payout of funds / credit in my/our account and pay to me/us only to the extent demanded by me/us. To use/ adjust the credit balance available from time to time in my/our account(s) for my/our exposure/ trading limits/ margin requirements / other dues.
5. However, I/We prefer to settle the account on following basis:-

Quarterly		Monthly	
-----------	--	---------	--

6. To debit/credit/ transfer of amounts, either on same Exchange and / or between various segments of the same exchange and / or between the exchanges across various segment to meet my/our debit balance or various dues payable to SSBPL / Exchanges.
7. To transfer credit / debit balance from mark to mark to market and/or premium account to margin account and vice versa.
8. All the instructions / requests placed by me/us on SSBPL website by using login and Password shall be always binding upon me/us.
9. I/We hereby agree to receive through telephone calls / SMS on my/our mobile number / email ID as registered by me/us with SSBPL, the messages / communications relating to transactions, PIN, passwords, stock ideas , real time news pertaining to market, updates on stock prices and any other messages (including products and services) as sent by SSBPL and or its associates from time to time.

Further, I/We reserve my right to withdraw the above instructions at any time. In such event, I/We undertake to inform you in writing and such communication shall be addressed to the above address.

Client's Signature : 21/26 _____

Name of the Client : _____

Client Code : _____

(*To be signed by the client only and not the POA Holder)

VOLUNTARY

Date:

Shilpa Stock Broker Pvt. Ltd.,
Natwar Chamber, 1st floor,
94, Nagindas Master Road,
Fort, Mumbai 400 001

Dear Sir/Madam,

Sub.: Authority to place instructions

Ref.: My/Our Client Code No.

I/We have opened the client/constituent account with Shilpa Stock Broker Pvt. Ltd. (herein referred to as "SSBPL") for trading/ dealing in securities on Bombay Stock Exchange Ltd. (BSE) and/or National Stock Exchange of India Limited (NSE) (hereinafter referred to as "the Exchanges").

In this regard, please note that I/We hereby appoint Mr / Ms _____

PAN :

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 who shall be acting as "Authorised Person" on my/Our behalf for placing/giving/executing orders in my/our above client account with you. The buying/selling/execution of order or other instruction given on my/our behalf by the above said Authorised Person shall be binding on me/us. He/She/They can communicate with SSBPL through telephone, email, fax, mobile, Short Messaging Service (SMS), messenger chat or any other mode/means of communication.

Please note that contract note, margin statement etc.. shall be sent to me/us only and fund/ securities will be received paid to/through my/our designated account with you only. This Authorization remains in force till cancellation of the same by me or by "Authorised Person" whichever is earlier & Intimation of the same in writing to SSBPL at its registered office address.

Thanking you

22/26 

Client's Signature

CONNECTING INVESTORS TO PROSPERITY

Natwar Chambers, 1st Floor,
94, Nagindas Master Road,
Fort, Mumbai – 400 001.

MANDATORY



CONNECTING INVESTORS TO PROSPERITY

ACKNOWLEDGEMENT

Date :-

Shilpa Stock Broker Pvt. Ltd.,
Natwar Chamber, 1st floor,
94, Nagindas Master Road,
Fort, Mumbai 400 001

Dear Sir,

This has reference to necessary Know Your Client (Individual / Non-Individual) Form for demat and trading account containing basic information, additional information and other documents executed by me/us. I/We hereby acknowledge receipt of following documents from you:-

1. Documents containing mandatory Rights & Obligations of stock broker, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading).
2. Risk Disclosure Documents. (For Trading)
3. Document detailing do's and don'ts for trading on exchange, for the education of the investors.
4. Policy and Procedures document.
5. Intimation of Money Laundering (PMLA)
6. Tariff Sheet
7. Risk Disclosure Documents. (For DP)

I/ We state that I/ We have read and understood all above documents and these documents are binding upon me/us.

Thanking you,

Client's Signature : 24/26 ✍

Name of the Client :

Client Code :

BROKERAGE / CHARGES (TARIFF SCHEDULE) For Offline Client**BROKERAGE****CASH AND FUTURES AND OPTIONS AND CURRENCY DERIVATIVES SEGMENTS**

Type	Percentage	Minimum (paisa per share)	Legs
Trading in Cash (intra day)			Single / Both
Delivery in Cash			All transaction
Futures (intra day)			Single / Both
Futures (other than intra day)			All transaction
	% / Rs. per lot	Minimum (Rs. Per lot / Paisa Per Share)	
Options (intra day)	___ % / Rs. _____		Single / Both
Options (except intra day)	___% / Rs. _____		All transaction
Currency Derivative	Rs. _____ per lot / _____ %		All transaction

BROKERAGE FOR ACCOUNT SETTLEMENT OTHER THAN QUARTERLY BASIS :-


Per Share 2.5% or 10 paisa which ever is higher on each and every leg of transactions on securities listed in cash segment and on future segment of stock, index & Currency. 2.5% of Premium or Rs. 100/- per lot which ever is higher on options contract listed in futures and options and currency derivative segments.

OTHER LEVIES AS PREVALENT FROM TIME TO TIME :-

1. Service Tax 2. Stamp Duty 3. Exchange transaction charges 4. SEBI turnover fees 5. Securities Transaction Tax (STT) 6. Delayed payment charges not exceeding 18% per annum or part thereof 7. Physical / Duplicate Contract Note handling charges of Rs.35/- if opted for ECN and requested for physical copy in duplicate (per copy). 8. Document and service charges for trading account opening Rs.150/- 9. Amount paid / payable by SSBPL on account of any penalties / charges levied / leviable on SSBPL due to default / breach committed by client. Any other statutory levies not specified in this tariff sheet 10. Charges for providing research report 11. Charges for any other services provided / cost incurred by SSBPL 12. Any other charges toward customised / specialised services. 13. Cheque return charges at actuals

Note :

The brokerage in cash and futures segment (except options) is calculated on a per share basis and rounded off to nearest paisa. Rate of the other levies may vary from time to time. You may contact us to know the prevalent rates of the above levies. SSBPL means Shilpa Stock Broker Pvt. Ltd.. Any change in the commercial shall be communicated on your email id registered with us and the same shall also be available in your client login on our website.

Client's Signature: 25/26  _____

Name of the Client : _____

Client Code : _____

SCHEDULE CHARGES (CDSL)

Charge Head	Charges	
	Account with POA	Account without POA
Stamp Paper Charges	Upto Rs. 300/-	Upto Rs. 200/-
Life Time AMC	Upto Rs.5000/-	Upto Rs.5000/-
Custody Charges	Nil	Nil
Transaction Charges Buy (Market / Off-Market) Transfers	Nil	Nil
Transaction Charges Sell (Market / Off Market)	Upto Rs. 50/- Per Transaction	Upto Rs. 50/- Per Transaction
Transfers Failed Inst.	Nil	Nil
Pledge Creation / Closure	Upto Rs.50/- Per Transactions	Upto Rs.50/- Per Transactions
Pledge Creation Confirmation Pledge Closure Confirmation / Pledge Invocation	Nil	Nil
Demat Charges	Upto Rs. 50/- Per Transactions (Min.100) +Rs. 25 courier charges	Upto Rs. 50/- Per Transactions (Min.100) +Rs. 25 courier charges
Demat Rejections Charges	Upto Rs. 50/- Per Transactions (Min.100) +Rs. 25 courier charges	Upto Rs. 50/- Per Transactions (Min.100) +Rs. 25 courier charges
Remate Charges	Rs.15 or 0.02% whichever is higher	Rs.15 request or 0.02% whichever is higher
Delivery Instruction Book	Nil	Nil
Fax Indemnity (Optional)	N.A.	N.A.

Note :

- In case of delays in the payment of charges, the demat account will be frozen for all operations till such time all dues are cleared subject to 30 days notice from the payment due date.
- All instructions for transfer must be received in physical form the clients upto 4.00p.m. on "T + 1" for payin of securities. Late instructions would be accepted at the account holder's sole risk and responsibility.
- Charges are subject to revision at the company's sole discretion and as per revision in CDSL charges and are subject to 30 days notice from the date of applicability.
- All payment to be made in the name of "Shilpa Stock Broker Pvt. Ltd." Via a cheque/DD payable at the local branch where the account is opened. Out-station cheques will not be accepted.
- Out of pocket expenses incurred on the dispatch of securities for dematerialisation and communication charges incurred on out-station call/faxes made specifically on request of the client will be charged on actuals.
- Any advance payment over and above the normal amount due can also be made. Any such higher amount paid than the minimum amount payable at the time of account opening shall be adjusted against the bills raised from time to time.
- You can Debit my Demat charges to my Trading account Code: _____ Maintain with you.

CHARGES ON NON-PAYMENT OF DUES :

- Penalty and interest charges : A penalty of 2% per month on the value outstanding on the bill after one month from the due date.
- Non-Payment of bill after 30 days : The depository services for from the due date of the payment the account will be temporarily withdrawn.
The renewal charges for resuming the depository operations will be Rs. 100 per account.

26/26 

Signature :

First Holder

Second Holder

Third Holder

Please fill in ENGLISH and in BLOCK LETTERS with black ink

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

2. Gender ☐ Male ☐ Female B. Marital Status ☐ Single ☐ Married C. Date of Birth

3. Nationality ☐ Indian ☐ Other (Please specify)

4. Status Please tick (✓) ☐ Resident Individual ☐ Non Resident ☐ Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN Please enclose a duly attested copy of your PAN Card

Unique Identification Number (UID)/Aadhaar, if any:

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

☐ UID (Aadhaar) ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others

PHOTOGRAPH

Please affix
the recent passport
size photograph and
sign across it

(Please see guideline 'D' overleaf)

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village Pin Code
State Country

2. Contact Details

Tel. (Off.) (ISD) (STD) Tel. (Res.) (ISD) (STD)
Mobile (ISD) (STD) Fax (ISD) (STD)
E-Mail Id.

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ * Latest Bank A/c Statement/Passbook
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify)
☐ *Not more than 3 Months old. Validity/Expiry date of proof of address submitted

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village Pin Code
State Country

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick () against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card
☐ * Latest Bank A/c Statement/Passbook ☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill
☐ *Latest Gas Bill ☐ Others (Please specify)
*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

C. Other Details (please see guidelines overleaf)

1. Gross Annual Income Details (Please tick (✓)) ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ > 25 Lacs

OR

Net-worth in ₹. (*Net worth should not be older than 1 year) as on (date)

2. Occupation (Please tick (✓) any one and give brief details):

☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired
☐ Housewife ☐ Student ☐ Forex Dealer ☐ Others (Please specify)

3. Please tick, if applicable: ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person

For definition of PEP, please refer guideline overleaf

4. Any other information:

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we may be held liable for it.

Place:

Date:

SIGNATURE OF APPLICANT

FOR OFFICE USE ONLY

IPV Done ☐ on

AMC/Intermediary name OR code

For Shilpa Stock Broker Pvt. Ltd.

☐ (Originals Verified) Self Certified Document copies received

☐ (Attested) True copies of documents received

Main Intermediary

Signature:

Name:

Date :

Designation:

"Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back). If printed separately then both the pages should be attached and signed by the applicant."

Tear from here

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then 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/PIOCard/OCICard 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.
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 attesting the documents, as per the below mentioned list. 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 proofs for Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or 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 authorized to attest the documents:**B. Proof of Identity(POI): List of documents admissible as Proof of Identity:**

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill/Insurance Copy.

2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

Please Submit the KYC documents on A4 Size Paper only.

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- 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/PIOCard/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
- 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:

- PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
- Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
- 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/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy

- 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 Board/Passport of Minor/Birth Certificate must be provided. 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 authorized 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, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

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
Corporate	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year) Copy of latest share holding pattern including list of all those holding control, 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) Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly Copies of the Memorandum and Articles of Association and certificate of incorporation Copy of the Board Resolution for investment in securities market Authorized signatories list with specimen signatures
Partnership firm	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year) Certificate of registration (for registered partnership firms only) Copy of partnership deed Authorized signatories list with specimen signatures Photograph, POI, POA, PAN of Partners
Trust	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year) Certificate of registration (for registered trust only). Copy of Trust deed List of trustees certified by managing trustees/CA Photograph, POI, POA, PAN of Trustees
HUF	<ul style="list-style-type: none"> PAN of HUF Deed of declaration of HUF/List of coparceners Bank pass-book/bank statement in the name of HUF Photograph, POI, POA, PAN of Karta
Unincorporated Association or a body of individuals	<ul style="list-style-type: none"> Proof of Existence/Constitution document Resolution of the managing body & Power of Attorney granted to transact business on its behalf Authorized signatories list with specimen signatures
Banks/Institutional Investors	<ul style="list-style-type: none"> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years Authorized signatories list with specimen signatures
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> Copy of SEBI registration certificate Authorized signatories list with specimen signatures
Army/Government Bodies	<ul style="list-style-type: none"> Self-certification on letterhead Authorized signatories list with specimen signatures
Registered Society	<ul style="list-style-type: none"> Copy of Registration Certificate under Societies Registration Act List of Managing Committee members Committee resolution for persons authorised to act as authorised signatories with specimen signatures True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

Please Submit the KYC Documents on A4 Size Paper only.

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

Name of Applicant_____

PAN of the Applicant

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Sr. No.	PAN	Name	DIN (For Directors) / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
						<div><input type="checkbox"/> PEP</div> <div><input type="checkbox"/> RPEP</div> <div><input type="checkbox"/> NO</div>	
						<div><input type="checkbox"/> PEP</div> <div><input type="checkbox"/> RPEP</div> <div><input type="checkbox"/> NO</div>	
						<div><input type="checkbox"/> PEP</div> <div><input type="checkbox"/> RPEP</div> <div><input type="checkbox"/> NO</div>	
						<div><input type="checkbox"/> PEP</div> <div><input type="checkbox"/> RPEP</div> <div><input type="checkbox"/> NO</div>	
						<div><input type="checkbox"/> PEP</div> <div><input type="checkbox"/> RPEP</div> <div><input type="checkbox"/> NO</div>	

PEP: Politically Exposed Person RPEP: Related to Politically Exposed Person

Name of the Authorised Person_____

Signature _____

Date

d	d
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 /

m	m
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y	y	y	y
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