

ACCOUNT OPENING KIT				
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Name of Stock Broker/ Trading Member		Shilpa Stock Broker Pvt. Ltd.		
Bombay Stock Exchange Limited (Member ID: 608)		SEBI Reg. No. INZ000201636		
National Stock Exchange of India Limited (Member ID: 10574)		SEBI Reg. No. INZ000201636		
CDSL & DP ID		IN-DP-CDSL-487-2020 DP ID : 12025700		
SEBI Regn. No. DP ID		CDSL - IN-DP-295-2016	DPID: 12083600	
Corporate & Registered Office :	B-11,3rd Floor,Plot-36,Tamarind House, Mudhana Shetty Marg,Hutatma Chowk, Fort,Mumbai - 400001			
BRANCH :	Shilpa stock broker pvt ltd Chittorgarh 19 Rajeev colony Meera market above canara bank Chittorgarh 312001 Rajasthan			
	Tel.: +91 022 4032 4300		Fax : +91 22 49741229	Website: www.ssbpl.net
Clearing Member Name & Address :		Axis Bank Universal Insurance Building, Ground Floor, Sir. P.M. Road, Fort.		
Compliance officer Name (BSE & NSE)	Devendra L Agrawal	Tel No.	022-40324300	Email : deven@ssbpl.net
Compliance officer Name (CDSL-DP)	Dasmita Mandavkar	Tel No.	022-40324354	Email : dasmita@ssbpl.net
CEOName	MRS. SHIKHA MUNDRA	Tel No.	022-40324301	Email : shikha@ssbpl.net
Note :	For any grievance / dispute please contact us at the above address of Email id : investorgrievance@ssbpl.net and Tel. No. +91 022 -40324300.			

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 /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 onularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

To file a complaint on the SEBI Complaints Redress System (SCORES), you can follow these steps:

1. Register on the SCORES Website <https://scores.sebi.gov.in>

- Provide your name, PAN, contact details, email ID, Aadhar card, and Central KYC.
- After successful registration, you'll receive an email with a user ID and password.

2. Lodge a complaint:

- Select the complaint category, nature of complaint, and the name of the SEBI-regulated entity.
- Fill out the complaint registration form with the required details and submit.

3. Track the status of your complaint:

- You can track the status of your complaint online at any time.

Benefit of the filling a complaint on SCORES:

1. Automatic Reminders:

- Entities receive automatic reminders to resolve complaints on time.

2. Complaint Redressal:

- The concerned entity must resolve the complaint within 21 days and inform to SCORES.
- The complaint is also sent to the relevant designated body, which insure the entity submit the response within stipulated time.

Voluntary freezing and bocking – Demat / Trading Account Message and/or Calling and Email on Dedicated Support Line:

- The client can send SMS to SSBPL at our dedicated number 8928681880 during office hours with their UCC code and PAN number through their registered mobile number and mention they want to BLOCK/FREEZE their Demat/Trading.
(Office hours between 9:30am – 5:30pm on all day except Sunday and public Holidays)
- The client can send an Email to SSBPL at our dedicated email ID stoptrade@ssbpl.net during office hours with their UCC code and PAN number through their registered Email Id and mention they want to BLOCK/FREEZE their Demat/Trading.
(Between 9:30am – 5:30pm excluding Sundays and public holidays).

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, FIs, 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	<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. ● Authorised 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. ● Declaration of LLP. (in case of LLP account) ● Authorised 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 (In non-individual Form for opening trading account)	<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.

- 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.

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"/> FII <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="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 2/29 

 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 :	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify)

(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.

EXISTING DEPOSITORY ACCOUNT(S) DETAILS (FOR TRADING ACCOUNT)

DP Name		
DP ID		
Client Name		
Client ID		
Depository		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	NSE, BSE				MCX, NCDEX, BSE & NSE
All Segments	Cash / Mutual Fund	F&O	Currency	Debt	Commodity Derivatives

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

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:

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		NSE SEBI Regn. No.:	
address:		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

First Holder_____
Second Holder
(For Demat Account only)_____
Third Holder
(For Demat Account only)

Most Important Terms and Conditions (MITC)
(For non-custodial settled trading accounts)

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

Client's Signature

Annexure-I: Risk disclosures on Derivatives

RISK DISCLOSURES in the Equity, Futures & Options segment aims to inform individual traders about inherent risks involved in trading these segments.

RISK DISCLOSURES ON DERIVATIVES
> 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses.
> On an average, loss makers registered net trading loss close to ₹ 50,000.
> Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs.
> Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

Source:

1. [SEBI study dated January 25, 2023 on "Analysis of Profit and Loss of Individual Traders dealing in equity Futures and Options \(F&O\) Segment", wherein Aggregate Level findings are based on annual Profit/Loss incurred by individual traders in equity F&O during FY 2021-22.](#)

Client Signature

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 received and read the Rights & Obligations documents and terms & conditions & 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 15/29			

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.

Authorised Signatory

ADDITIONAL DETAILS (FOR TRADING ACCOUNT)

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):	<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 (please specify):	<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:	
Any other information:	
I would like to receive the following documents through physical / electronic mode. 1. Right and obligation 2. Uniform Risk Disclosure Document (RDD) 3. Do's & Don'ts	12/29 _____ Client Signature

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 _____ as on (date) _____

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

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

3. **Please tick, if applicable:** Politically Exposed Person Related to a Politically Exposed Person None
For definition of PEP, please refer guideline overleaf

4. Any other information:

5. BSDA : YES NO

6. Risk Category High Mixium Low

INTRODUCER DETAILS (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, please specify _____
Address and Tel No of the Introducer	
Introducer's Signature	

Client's Signature

13/29 _____
First Holder_____
Second Holder
(For Demat Account only)_____
Third Holder
(For Demat Account only)

Nomination Form

FORM FOR NOMINATION <i>(To be filled in by individual applying singly or jointly)</i>			
Date		UCC	
		DP ID	
		Client ID	
<input type="checkbox"/> I/We wish to make a nomination. [As per details given below]			
NOMINATION DETAILS			
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.			
Nomination can be made upto three nominees in the account		Details of 1st Nominee	Details of 2nd Nominee
Details of 3rd Nominee			
1.	Name of the nominee(s) Mr./Ms.)		
2.	Share of each Nominee	Equally [If not equally, please specify percentage]	
		%	%
		Any odd lot after division shall be transferred to the first nominee mentioned in the form.	
3.	Relationship with the Applicant (if any)		
4.	Address of Nominee(s) City / Place: State & Country:		
	PIN Code		
5.	Mobile/Telephone No. of Nominee(s)		
6.	Email ID of nominee(s)		
7.	Nominee Identification details [Please tick any one of following and provide details of same]		
	<input type="checkbox"/> Photograph & Signature		
	<input type="checkbox"/> PAN		
	<input type="checkbox"/> Aadhaar		
	<input type="checkbox"/> Saving Bank A/c No.		
	<input type="checkbox"/> Proof of Identity		
	<input type="checkbox"/> Demat Account ID		
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor :			
8	Date of Birth {in case of minor nominee(s)}		
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}		
10	Address of Guardian(s) City / Place: State & Country:		
	PIN Code		

11	Mobile / Telephone no. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details –[Please tick any one of following and provide details of same]			
	<input type="checkbox"/> Photograph & Signature			
	<input type="checkbox"/> PAN			
	<input type="checkbox"/> Aadhaar			
	<input type="checkbox"/> Saving Bank A/c No.			
	<input type="checkbox"/> Proof of Identity			
	<input type="checkbox"/> Demat Account ID			
		Name(s) of Holder(s)		Signature(s) of Holder
	Sole/First Holder (Mr./Ms.)			
	Second Holder (Mr./Ms.)			
	Third Holder (Mr./Ms.)			

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

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

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).

Annexure-2.6

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. .



Date:

Dear Sir,

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

I am / We are regularly Trading with you for Cash and Derivative Market in BSE/NSE/MCX-SX. I /we hereby authorized you to do following on my /our behalf:

1. I/We hereby give my/our consent to maintain my/our account for fund and securities as RUNNING ACCOUNT
2. The Securities lying in my/our withhold A/c and credit balance lying in my / our account should be considered as margin deposits
3. I/We request you to keep my/our Securities, Margin and funds with you to meet my/our pay in obligation in the Succeeding settlements in the same segment as well as other segments of BSE/NSE/MCX-SX
4. The actual settlement of funds & Securities shall be done by you every Monthly/Quarterly interval. You will send quarterly/ monthly statement of Funds & Securities and I/We shall bring any discrepancy to your notice within 30 working days from the receipt of Statements

I hereby authorize the trading member to make actual settlement of funds & securities in respect of my trading account at least once in a


Quaterly Monthly

5. You shall transfer the Funds / securities lying in my / our credit within one working day of the request if the same are lying with you & within 3 working days from the request, if the same are lying with the clearing member / clearing corporation.

I / We have noted the following :

1. This running account authorization will continue until it is revoked by me.
2. The authorization shall be signed by me /us only and not by any power of attorney holder or by any authorized person.
3. I/we may revoke the authorization at any time by giving written notice.

Yours faithfully,

Client's Signature : 

Name of the Client :

Client Code :

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

To,

Shilpa Stock Broker Pvt Ltd.

B-11, 3rd Flr., Plot-36, Tamarind House, Mudhana Shetty Marg,
Hutatma Chowk, Fort, Mumbai - 400001

Sub: Internet Trading

Sir,

I/We wish to trade through internet on National Stock Exchange/ Bombay Stock Exchange /MCX Stock Exchange and confirm that we are fully aware of and understand the risk associated with availing of a service of routing orders through internet including the risk of misuse and unauthorized use of our Username or Password by a third party and the risk of a person hacking into our account on your ITORS system and unauthorized routing order on behalf of us through the System. We agree that we shall be fully liable and responsible for any and all unauthorized use and misuse of our Password and / or Username and also for any and all acts done by any person through your ITORS system on our Username in any manner whatsoever.

We hereby confirm you to send our Username and Password on the mentioned e-mail address.


E-mail Address:

Client's Name:

Trading Code:

Mobile Number:

Thanks and best regards

21/29 

Client's Signature

MANDATORY

ACKNOWLEDGEMENT

Date :-

Shilpa Stock Broker Pvt. Ltd.,
B-11, 3rd Flr., Plot-36,
Tamarind House, Mudhana Shetty Marg,
Hutatma Chowk, Fort, Mumbai - 400001

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 executed documents from you:-

Part A

1. Copy of KYC documents executed by me
2. Tariff Sheet (for trading & Demat account)
3. Running Account Authorization Letter
4. All other executed documents


Part B

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 & DP).
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)

I/We am/are also aware that, information given in Part B is also available in SSBPL website i.e www.ssbpl.net

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 : 22/29 

Name of the Client :

Client Code :

BROKERAGE / CHARGES (TARIFF SCHEDULE) For Client

BROKERAGE

CASH AND FUTURES AND OPTIONS AND CURRENCY DERIVATIVES SEGMENTS

Segment	INTRADAY 1ST LEG		INTRADAY 2ND LEG		DELIVERY	
	MIN Ps	Slab %	MIN Ps	Slab %	MIN Ps	Slab %
EQUITY						
					Option per lot 1st leg	Option per lot 2nd leg
F&O						
					Option per lot 1st leg	Option per lot 2nd leg
CURRENCY						

BROKERAGE FOR ACCOUNT SETTLEMENT OTHER THAN QUARTERLY BASIS :-

Per share 2.5% or 10 paise whichever 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 whichever is higher on options contract listed in future and option and currency derivative segment.

OTHER LEVIES AS PREVALENT FROM TIME TO TIME :-

- GST/Stamp Duty/Exchange Transaction Charges /SEBI Turnover fees /Security Transaction Charges Tax (STT) (or any other applicable charges by Government of India / Exchange /SEBI or any other Authority.
- Delayed payment charges not exceeding 18% per annum or part thereof
- Physical / Duplicate Contract Note handling charges of Rs. 35/- if opted for ECN and requested for Physical copy in duplicate (per copy)
- Documents and service charges for trading account of Rs. 175/- (POA charges of Rs.110/- and E-KYC Charges of Rs 65/-)
- 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.
- Charges for providing research Report .
- Charges for any other Services Provided / Cost incurred by SSBPL.
- Any other charges towards customised / specialised services.
- Cheque return charges at actual.

Note :

The brokerage in cash and futures segment (except option) is calculated on a per share basis and rounded of nearest paise. 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 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.

23/29

Client's Signature: _____

Name of the Client : _____

Client Code : _____

SHILPA STOCK BROKER PVT. LTD.
SCHEDULE OF CHARGES (CDSL)

Charge Head	Charges	
	Non –EKYC Account	EKYC Account
Franking Charges	Rs.140/- (Account with Off Line DDPI/ POA)	Rs.160/- (Account with On Line DDPI/ POA)
	NIL (Account without POA)	NIL (Account without POA)
AMC	1) Rs.750/- Life Time 2) Rs. 229/- Per Year 3) For Corporate:-Rs.1000/- Yearly	1) Rs.750/- LifeTime 2) Rs. 229/- PerYear
Transaction Charges Buy (Market) Transfers	NIL	NIL
Transaction Charges Market Sell	Rs.15/-Per Transaction	Rs.15/-Per Transaction
KRA Modification Charges	KRA Upload/ Download: Rs. 45/-	KRA Upload/ Download: Rs. 45/-
Transaction Charges Off- Market Outward	0.05% Transaction Value OR Rs.35/- (Whichever is Higher) Per ISIN/ Transaction for Off-Market and Inter- Depository	0.05% Transaction Value OR Rs.35/- (Whichever is Higher) Per ISIN/ Transaction for Off-Market and Inter- Depository
Transfers Failed Instruction	Rs.20/-	Rs.20/-
Margin / MTF Pledge Creation	Rs.20/- Per ISIN / Transaction	Rs.20/- Per ISIN / Transaction
Margin Re-Pledge Creation	NIL	NIL
Margin / MTF Un-Pledge Closure	Rs.20/- Per ISIN / Transaction	Rs.20/- Per ISIN / Transaction
Margin Un-Re-Pledge Closure	NIL	NIL
Margin Pledge Revoke / Release	Rs.20/- Per ISIN / Transaction	Rs.20/- Per ISIN / Transaction
Pledge Creation / Closure	0.01% Of Transaction Value Or Rs.50/- (Whichever Is Higher) Per ISIN / Transaction	0.01% Of Transaction Value Or Rs.50/- (Whichever Is Higher) Per ISIN / Transaction
Pledge Creation Confirmation Pledge Closure Confirmation Pledge Invocation	NIL	NIL
Demat Charges	Rs 5/- Per ISIN Per Certificate) Minimum Rs 50/-) + Rs.100 Courier Charges.	Rs.5/- Per ISIN Per Certificate (Minimum Rs 50/-.) + Rs.100 Courier Charges.
Demat Rejection Charges	NIL	NIL
Remat Charges	Rs.20/- Per 100 Securities + Rs.100 Courier Charges.	Rs.20/- Per 100 Securities + Rs.100 Courier Charges.
Delivery Instruction Slip Book	First DIS Book (10 Leaves): NIL . Additional DIS Booklet (10 Leaves): Rs.75/-	First DIS Book (10 Leaves): NIL . Additional DIS Booklet (10 Leaves): Rs. 75/-
Ad-hoc Statement	Rs. 100/- Per Statement	Rs. 100/- Per Statement
Account Modification Charges	Modification in CML: Rs.30/- Request	Modification in CML: Rs.30/- Request
Other Charges	FROM 01-08-2023 our Scheme DP transaction On Market sale – BR 96 Tariff : Rs.21/- + GST	FROM 01-08-2023 our Scheme DP transaction On Market sale – BR 96 Tariff : Rs.21/- + GST

NOTE:

- In case of delays in the payment of charges, the demat account will be frozen for all operation till such time all dues are cleared subject to 30 days notice from the payment due date.
- All instruction for transfer must be received in physical from the client upto 4.00p.m. on "T+1" for pay in of securities late instruction would be accepted at the account holder's sole risk and responsibility.
- Charges are subject to revision at that company's sole discretion and as per revisions 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 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 outstation call/faxes made specifically on request of the clients will be charged on actual.
- 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 the bills raised from to time
- You can Debit my Demat charges to my Trading Account Code _____ maintain with you.
- Goods and Services Tax (GST) as per the prevailing rates will be charged in addition to these charges.

CHARGES ON NON-PAYMENT OF DUES:

Penalty and interest charges:

A Penalty of 1% 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.

Signature: _____

Sole/First Holder

Second Holder

Third Holder



**FATCA & CRS
Annexure for Individual Accounts**

(Including Sole Proprietor) (Refer to instructions)
(Please consult your professional tax advisor for further guidance on
your tax residency, if required)

First / Sole Applicant / Guardian

Name			
Gender		PAN	Occupation Type
Father's Name			
Cust ID / Folio No./Client Code			

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

Type of address given at KYC Residential or Business Residential Business Registered Office

Permissible documents are Passport Election ID Card PAN Card Driving License UIDAN Card
 NREGA Job Card Others

Date of Birth		Place of Birth	
Country of Birth			
Nationality			

Are you a tax resident of any country other than India? Yes No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country #	Tax Identification Number %	Identification Type (TIN or Other, please specify)

To also include USA, where the Individual is a citizen / green card holder of The USA
% In case Tax Identification Number is not available, kindly provide its functional equivalent \$

Certification

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

Signatures

 25/29

First / Sole Applicant / Guardian

Date		Place	
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FATCA & CRS Terms & Conditions

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income Tax Rules, 1962, which Rules require Indian financial institution such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

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

Please note that you may receive more than one request for information if you have multiple relationships with Shilpa Stock Brokers Ltd. or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied and previously requested information.



Details of FATCA & CRS information For Non-Individuals/Legal Entity

Name of the entity																	
Type of Address given at KRA	Residential or Business	Residential	Business	Registered Office													
PAN						Date of incorporation	DD	/	MM	/	YY	YY					
City of incorporation																	
Country of incorporation																	

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India YES NO
(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated TAX ID number below)

Country	Tax Identification Number [*]	Identification Type <i>(TIN or Other, please specify)</i>

^{*} In case Tax Identification Number is not available, kindly provide its functional equivalent⁵
 In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here _____
 Please refer to para 3(vii) Exemption code for U.S. persons under Part D of FATCA Instructions & Definitions

FATCA & CRS Declaration

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

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

1. We are a, **Global Intermediary Identification Number (GIIN)**
 Financial institution³ **Note:** *If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below*
 or
 Direct reporting NFE⁴ Name of sponsoring entity _____
 (Please tick as appropriate)
GIIN not available (please tick as applicable) **Applied for**
If the entity is a financial institution, Not required to apply for - please specify 2 digits sub-category¹⁰
 Not obtained - Non-participating FI

PART B *(please fill any one as appropriate "to be filled by NFEs other than direct reporting NFEs")*

1.	Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) No <input type="checkbox"/>	Yes <input type="checkbox"/> <i>(If yes, please specify any one stock exchange on which the stock is regularly traded)</i> Name of stock exchange _____
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) No <input type="checkbox"/>	Yes <input type="checkbox"/> <i>(If yes, please specify the name of listed company and one stock exchange on which the stock is regularly traded)</i> Name of listed company _____ Nature of relation: subsidiary of the listed company OR controlled by a listed company Name of stock exchange _____
3.	Is the Entity an active ¹ non-financial Entity (NFE) No <input type="checkbox"/>	Yes <input type="checkbox"/> Nature of Business _____ Please specify the sub-category of Active NFE <input type="checkbox"/> <small>Mention code --- Refer 2c of Part D</small>
4.	Is the Entity a passive ² NFE No <input type="checkbox"/>	Yes <input type="checkbox"/> <i>(If yes please fill UBO declaration in the next section)</i> Nature of Business _____

¹Refer 2 of Part D | ²Refer 3(ii) of Part D | ³Refer 1(i) of Part D | ⁴Refer 3(vi) of Part D |

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

Important Instructions:

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



For Official use only

Application Type* New Update

(To be filled by financial institution) KYC Number _____ (Mandatory for KYC update request)

Account type* Normal Simplified (for low risk customers) Small

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

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	_____	_____	_____	_____
Maiden Name (If any*)	_____	_____	_____	_____
Father / Spouse Name*	_____	_____	_____	_____
Mother Name*	_____	_____	_____	_____
Date of Birth*	_____			
Gender*	<input type="checkbox"/> M-Male <input type="checkbox"/> F-Female <input type="checkbox"/> T-Transgender			
Marital Status*	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others			
Citizenship*	<input type="checkbox"/> In-Indian <input type="checkbox"/> Others (ISO 3166 Country Code <input type="checkbox"/> <input type="checkbox"/>)			
Residential Status*	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin			
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector) <input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> B-Business <input type="checkbox"/> Forex Dealer <input type="checkbox"/> X- Not Categorized			

PHOTO

Signature / Thumb Impression

2. TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence* _____

Tax Identification Number or equivalent (If issued by jurisdiction)* _____

Place / City of Birth* _____ ISO 3166 Country Code of Birth* _____

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

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

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

4. PROOF OF ADDRESS (PoA)*

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

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

Address Type* Residential / Business Residential Business Registered Office Unspecified

Proof of Address* Passport Driving Licence UID (Aadhaar)
 Voter Identity Card NREGA Job Card Others _____
 Simplified Measures Account - Document Type code _____

Address

Line 1* _____

Line 2 _____

Line 3 _____ City / Town / Village* _____

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

Consent letter for same E-Mail ID & Mobile No.

To,

Shilpa Stock Broker Pvt. Ltd.
 B-11, 3rd Flr., Plot-36, Tamarind House,
 Mudhana Shetty Marg,
 Hutatma Chowk, Fort, Mumbai - 400001

I am having Trading and Demat Account with you, kindly consider common E-Mail ID & Mobile No. for my below family member:

Email ID on which Email are to be sent	
----------------------------------------	--

Client Email ID Belonging to:

	Client Code	BO ID	Name	Signature
<input type="checkbox"/> Self		12025700		
<input type="checkbox"/> Spouse <input type="checkbox"/> Dependent <input type="checkbox"/> Parents <input type="checkbox"/> Dependent <input type="checkbox"/> Childrennts		12025700		

Mobile Number on which Messages are to be sent	
------------------------------------------------	--

Client Mobile Number Belonging to:

	Client Code	BO ID	Name	Signature
<input type="checkbox"/> Self		12025700		
<input type="checkbox"/> Spouse <input type="checkbox"/> Dependent <input type="checkbox"/> Parents <input type="checkbox"/> Dependent <input type="checkbox"/> Childrennts		12025700		

Sole / First Holder

Second Holder

Third Holder

Name

Signature 27/29

Thanking you,

Date:

Place:

CONSENT LETTER FOR MARGIN TRADING FACILITY

To,

Shilpa Stock Broker Pvt. Ltd.

Mumbai - 400001

Sub : Request Letter for obtaining Margin Trading Facility (MTF)

With reference to the above mentioned subject I / We would like to request you to grant me Margin Trading Facility (MTF) as per The Securities Exchange Board of India (SEBI) vide circular CIR/MRD/DP/54/2017 dated 13th June, 2017. I/We further declare that I/We have not taken any Margin Funding Facility from any broker in any Exchange. I/We have gone through the rights and obligation formed by SEBI for purpose of MTF and acknowledge the same for future compliance.

I/We understand that I/We would be able to take position under MTF indefinitely subject to margin availability and other Terms as specified in Rights and obligation document.

I/We confirm that to take positions by providing prescribed margin and the balance amount will be funded by **M/S SHILPA STOCK BROKER PVT. LTD.** to meet the pay-in obligation so I/We ensure that the available margin is always above the Minimum Margin specified by **STOCK EXCHANGES** to avoid squaring-off the positions.

Further I/We agrees to pay Interest rate at 18% per annum or such rate as may be decided and communicated by **M/S SHILPA STOCK BROKER PVT. LTD.** from time to time on all outstanding payment beyond the due date

CONNECTING INVESTORS TO PROSPERITY

Thanking you

Client Code :

Client Name :

Client Signature :

AUTHORISATION FOR ISSUE OF ELECTRONIC CONTRACT NOTES

From: _____

Date: _____

To,
Shilpa Stock Broker Pvt Ltd.
 B-11, 3rd Flr., Plot-36,
 Tamarind House, Mudhana Shetty Marg,
 Hutatma Chowk, Fort, Mumbai - 400001

Dear Sir,

Sub.: Authorization for issue of contract notes and other documents in digital format.

I / We hereby agree and give consent to receive the contract notes and other documents in digital form for transactions made by you on my / our behalf, in terms of the agreement entered into between us. I / We agree that the Digital Contract notes and other documents issued by **Shilpa Stock Broker Pvt. Ltd.**, as per the terms and conditions specified herein shall be binding on me / us.

Terms and conditions for issuance of contract notes in digital form:

1. Electronic Contract notes will be issued by you strictly in compliance with the guidelines issued by SEBI / Exchanges from time to time
2. Electronic Contract Notes shall be sent on my / our E-mail address provided by me / us.
3. I / We undertake to check the digital documents including Electronic Contract Notes and bring the discrepancies to your notice within stipulated time of such issuance of contract notes. My / Our non-verification or not accessing the documents on regular basis shall not be a reason for disputing the documents at any time.
4. Discrepancies, if any, shall be sent by me / us to you in physical form or on the E-mail: investorgrievancies@ssbpl.net
5. In case of any failure in system or errors in digital documents, such documents will be issued in physical form by **Shilpa Stock Broker Pvt. Ltd.**, which shall be binding on me.
6. It will be my / our responsibility to regularly check the mailbox and keep extra space available for receipt of new email messages.
7. This instruction to issue digital documents is applicable with immediate effect.

Main E-mail ID :

Alternative E-mail ID :

Declaration:

I / We confirm that the Email IDs mentioned herein above has been created by me / us.

If there is any change in my/our email ID, the same shall be intimated to you in writing through physical letter duly signed by me / us. If there is any change in the residence/correspondence address or any other details / information provided by me / us, the same shall be informed in writing or by through above mentioned email id.

I/We confirm that this authorization and any subsequent change there in shall be signed by me/us only and not by any authorized person on my / our behalf or any holder of the Power of Attorney.

Yours faithfully,

Signature of Client: 29/29 _____

Name of Client : _____

Trading Code : _____

Demat Debit and Pledge Instruction (on Rs.100/- Stamp paper)**VOLUNTARY**










Date: __/__/____

Unique Client Code																			
BO ID	:	1	2	0	2	5	7	0	0										
Name of First Holder	:																		
Name of Second Holder	:																		
Name of Third Holder	:																		

To,
SHILPA STOCK BROKER PVT. LTD.
B-11, 3rd Floor, Tamarind House, Plot-36,
Mudhana Shetty Marg, Hutatma Chowk,
Fort, Mumbai- 400001.
SEBI REGN. NO. CDSL-IN-DP-487-2020

Sub: Execution of 'Demat Debit and Pledge Instruction' (DDPI) for transfer of securities towards deliveries / settlement obligations and pledging / re-pledging of securities as per SEBI circular SEBI/ HO/ MIRSD/ DoP/ P/ CIR/ 2022/ 44 dated April 4, 2022 on Execution of Demat Debit and Pledge Instruction' (DDPI).

1. I/ We hereby execute Demat Debit and Pledge Instruction' (DDPI) in the favour of **SHILPA STOCK BROKER PVT. LTD.** and agree to authorize them to access my/ our BO Account specified above for the limited purpose of settlement / margin obligation as specified below:

Sr. No	Purpose/ Nature of Instruction	Client Signature	
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same Stock Broker (TM).	First Holder	: 
		Second Holder	: 
		Third Holder	: 
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	First Holder	: 
		Second Holder	: 
		Third Holder	: 
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	First Holder	: 
		Second Holder	: 
		Third Holder	: 

4	Tendering shares in open offers through Stock Exchange Platforms	First Holder	:	
		Second Holder	:	
		Third Holder	:	

2. List of Beneficial Owner Accounts that the Member is entitled to operate with DDPI are as follows:

Sr. No	Name of the Account Holder	Account Type	Demat Account Number
1	SHILPA STOCK BROKER PRIVATE LIMITED	CM Pool A/C – BSE (CDSL)	1202570000000078
2	SHILPA STOCK BROKER PRIVATE LIMITED	CM Principal A/c- BSE (CDSL)	1202570000000063
3	SHILPA STOCK BROKER PRIVATE LIMITED	NSCCL Clearing Member A/c	1202570000000082
4	SHILPA STOCK BROKER PRIVATE LIMITED	Early Payin A/c- BSE	1100001000013967
5	SHILPA STOCK BROKER PRIVATE LIMITED	Early Payin A/c- NSE	1100001100016736
6	SHILPA STOCK BROKER PRIVATE LIMITED	Client Unpaid Securities A/c	1202570000273867
7	SHILPA STOCK BROKER PRIVATE LIMITED	Client TM/CM Margin Pledge A/c	1202570000278320
8	SHILPA STOCK BROKER PRIVATE LIMITED	Client Securities Margin Funding A/c	1202570000278335
9	SHILPA STOCK BROKER PRIVATE LIMITED	Client TM/CM Margin Pledge A/c- Margin Trading Funding	1202570000280473
10	SHILPA STOCK BROKER PRIVATE LIMITED	NSDL CMPBP ID	IN300484- 10868413
11	SHILPA STOCK BROKER PRIVATE LIMITED	CMBP ID – NSE POOL	IN560530
12	SHILPA STOCK BROKER PRIVATE LIMITED	CMBP ID – BSE POOL	IN652994

*Any modification, deletion or addition in the above account shall be intimated to me/ us separately.

3. The authorization provided by DDPI shall be applicable for all transactions specified herein from the date of applicability as specified by SEBI/ Exchange.

First/ Sole Holder	Second Holder	Third Holder
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INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

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.

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. 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:

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.

Please Submit the KYC documents on A4 Size Paper only.

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

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.

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. 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:

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.

Please Submit the KYC documents on A4 Size Paper only.

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

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 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/PIOCARD/OCI Card and overseas address proof is mandatory.
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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 or, photocopy of the School Leaving Certificate / Mark sheet issued by Higher Secondary
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.

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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.)

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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 Board/Passport of Minor/Birth Certificate must be provided. 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. 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 • Authorised 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 • Authorised 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.

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

Name of Applicant _____

PAN of the Applicant

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

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

Name of the Authorised Person _____

Signature _____

Date / /

**Non- Mandatory/ Voluntary
Declaration for HUF**

In the event of an account being opened with Shilpa Stock Broker Pvt. Ltd., we the undersigned, with the intention of binding not only the present members of the family but also all future members thereof, and all persons entitled to a share therein (including ourselves personally and our respective interests), in the joint family properties as well as our separate estates, agree and undertake to give notices to Shilpa Stock Broker Pvt. Ltd. in writing,

- Whenever any change occurs in the karta, or
- Of any birth or death of a co-parcener, or
- If any time, there is a partition (partial or otherwise) of the joint family, or
- If any minor member of the said family attains majority

In consideration of Shilpa Stock Broker Pvt. Ltd. agreeing to open an account in the name of the joint family and allowing the family Depository Participant (DP) facilities on the basis of the aforesaid representations and undertakings, we the undersigned, do hereby jointly and severally, undertake to indemnify Shilpa Stock Broker Pvt. Ltd. and keep Shilpa Stock Broker Pvt. Ltd. indemnified from and against all

- Action and proceedings
- Losses and damage
- Claims, demands and costs
- Charges and expenses that Shilpa Stock broker Pvt. Ltd. may suffer, incur or sustain by reason or as a result of its having agreed allow is to open and operate the account in the name of the joint family and enjoy DP facilities on the terms and conditions as contained herein.

Sr. No.	Name of Family Member	Relationship with KARTA	Gender	Date of Birth	Signature

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