No.:

CLIENT REGISTRATION FORM

Individual

Join us for a Convenient & Valuable Investing Experience!

CDSL

VERSION 26

MIRAE ASSET Sharekhan

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1 Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons 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.
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.
12. Fields marked with '*' are mandatory fields.
13. Tick '✓' wherever applicable.
14. Please fill all dates in DD-MM-YYYY format.
15. KYC number of applicant is mandatory for updation of KYC details.
16. For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
17. Clarification / Guidelines on filling 'Personal Details' section
    1 Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
    2 Either father's name or spouse's name is to be mandatorily furnished.

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

1. Aadhaar Card/Passport/ Voter ID card/ Driving license.
   If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
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.
4. e-KYC service launched by UIDAI shall also be accepted as a valid process for KYC verification. The information containing the relevant client details and photograph made available from UIDAI as a result of e-KYC process shall be treated as a valid proof of Identity.

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.)

Officially Valid Document - *Passport / Voters Identity Card / Aadhaar Card (Aadhaar Number to be masked by the client)/ Driving License/NREGA Job Card/National Population Register Letter.

If the above officially valid documents furnished by the client does not contain updated address, the following documents shall be deemed PoA. The client shall submit updated officially valid document with current address within a period of three months of submitting the below documents to us:

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

   In case the officially valid document presented by a foreign national does not contain the details of address, in such case the documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India shall be accepted as proof of address.
5. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
6. Aadhaar Letter issued by UIDAI shall be admissible as Proof of address in addition to Proof of Identity.
7. e-KYC service launched by UIDAI shall also be accepted as a valid process for KYC verification. The information containing the relevant client details and photograph made available from UIDAI as a result of e-KYC process shall be treated as a valid proof of address.

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, FPIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorised to attest the documents: Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative bank or Multinational Bank (Name, Designation & Seal should be affixed on the copy)

1.INSTRUCTIONS / CHECK LIST

Additional documents in case of trading in derivatives segment (illustrative list):

1. Copy of ITR Acknowledgement	4. Net worth Certificate - CA Certified	7. Demat Account Holding Statement along with valuation
2. Copy of Annual Accounts	5. Salary Slip	8. *Any other relevant documents substantiating ownership of Assets
3. Copy of Form 16 in case of salary income	6. Bank Statement (For last 6 months)	

* Relevant documents as per risk management policy of the stock broker to be provided by the client from time to time

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SHAREKHAN LIMITED

Registered Office Address : 1st Floor, Tower No. 3, Equinox Business Park, LBS Marg, Off BKC, Kurla (West), Mumbai - 400 070, Maharashtra, India. Tel.: 022-6750 2000

Correspondence Office Address : 10th Floor, Gigaplex Bldg. No. 9, Raheja Mindspace, Airoli Knowledge Park Rd, MSEB Staff Colony, TTC Industrial Area, Airoli, Navi Mumbai, Maharashtra 400708, India. | Tel: 022 - 61169000/61150000 | Fax: 022 - 61169699 | Website: www.sharekhan.com

Processing Office Address: 3rd Floor, Bay City Centre, 309, Ponnamallee High Road, Above Maruti Kapico Show Room, Near Pachiyappas College, Chennai- 600010 | Tel : 044-49105050 / 28362900 / 28363160 / 49035050 / 49035051 | Website: www.sharekhan.com

For any grievance/dispute, please contact Sharekhan Ltd. at the above mentioned Registered / Correspondence office address or e-mail at myaccount@sharekhan.com/ igc@sharekhan.com or contact at 022 - 61151111 / 022- 41523200
Compliance Officer: Mr. Krunal Rahangadale; Email ID: complianceofficer@sharekhan.com | Tel.: 022- 4657 3809
E-mail ID: complianceofficer@sharekhan.com
CEO Name: Mr. Moon Kyung Kang | Tel No: 022 - 67502000; | E-mail ID: ceo@sharekhan.com
In case you are not satisfied with the response, please contact the concerned Exchange/regulators as provided below:
(1) **NSE** - ignse@nse.co.in or contact at 1800 2660058
(2) **BSE** - dis@bseindia.com or contact at 022 - 22728517
(3) **NSDL** - relations@nsdl.co.in or contact at 022 - 2499 4200
(4) **CDSL** - complaints@cdslindia.com or contact at 1800 225 533
(5) **MCX** - grievance@mcxindia.com or contact at 022 - 6649 4070
(6) **SEBI Scores** - https://scores.sebi.gov.in or contact at 18002667575 / 1800227575
(7) **Smart ODR** - 8105148710

SEBI Regn. Nos.: BSE / NSE / (CASH / F&O / CD) / MCX - Commodity: INZ000171337; DP: NSDL/CDSL-IN-DP-365-2018; CIN No. U99999MH1995PLC087498; PMS:INP000005786; RA:INH000006183, AMFI-registered Mutual Fund Distributor, Mutual Fund: ARN 20669, (date of initial registration: 03/07/2004, and valid till 02/07/2029); SIF: date of initial registration: 04/09/2025 and valid till 03/09/2028); IRDAI Registered Corporate Agent (Composite) License No. CA0950, valid till June 13, 2027.

IMPORTANT NOTE

Signature of First Holder/Client/Applicant - (10) Signature of Second Holder - (4) Signature of Third Holder - (4)
Signature of Witness - (3)

List of Abbreviations

Sr. No.	Short form	Expansion
1	AMC	Asset Management Company
2	AMFI	Association of Mutual Funds in India
3	AML	Anti Money Laundering
4	AP	Authorised Person
5	BSE	BSE Limited
6	CBDT	Central Board of Direct Taxes
7	CDSL	Central Depository Services Limited
8	CIN	Corporate Identification Number or Company Identification Number
9	CRS	Common Reporting Standard
10	DHC	Delivery Handling Charges
11	DIN	Director Identification Number
12	DIS	Delivery Instruction Slip
13	F&O	Futures and Options
14	FATCA	Foreign Account Tax Compliance Act
15	FEMA	Foreign Exchange Management Act
16	MTF	Margin Trading Funding
17	IFSC	Indian Financial System Code
18	IPV	In-person Verification
19	IRDA	Insurance Regulatory Development Authority
20	ITR	Income Tax Return
21	KRA	KYC Registration Agency
22	KYC	Know Your Client / Know Your Customer
23	MF	Mutual Fund
24	MICR	Magnetic Ink Character Recognition
25	MSEI	Metropolitan Share Exchange of India Limited
26	NRI	Non-Resident Indian
27	NSDL	National Securities Depository Limited
28	NSE	National Stock Exchange of India Limited
29	PAN	Permanent Account Number
30	PEP	Politically Exposed Person
31	POA	Proof of Address
32	POI	Proof of Identity
33	RBI	Reserve Bank of India
34	RDD	Risk Disclosure Document
35	RTA	Registrar and Transfer Agent
36	SEBI	Securities and Exchange Board of India
37	SIP	Systematic Investment Plan
38	SLB	Stock Lending and Borrowing
39	UID	Unique Identification Number
40	UIDAI	Unique Identification Authority of India
41	UPI	Unified Payments Interface
42	VPA	Virtual Payment Address
43	DDPI	Demat Debit and Pledge Instruction

Annexure A

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.

Declaration: I/We hereby confirm that i/we have read and understood the above mentioned contents of the standard 'Most Important Terms and Conditions'.

Signatures

*Sole holder/First holder (Individual Account)

*Second holder (Individual)

*Third holder (Individual)

Annexure B

Most Important Terms and Conditions (MITC)

[Forming part of the Terms and Conditions for providing research services]

1 These terms and conditions, and consent thereon are for the research services provided by the Research Analyst (RA) and RA cannot execute/carry out any trade (purchase/sell transaction) on behalf of, the client. Thus, the clients are advised not to permit RA to execute any trade on their behalf.

2. The fee charged by RA to the client will be subject to the maximum of amount prescribed by SEBI/ Research Analyst Administration and Supervisory Body (RAASB) from time to time (applicable only for Individual and HUF Clients).

Note:

2.1. The current fee limit is Rs 1,51,000/- per annum per family of client for all research services of the RA.

2.2. The fee limit does not include statutory charges.

2.3. The fee limits do not apply to a non-individual client / accredited investor.

3. RA may charge fees in advance if agreed by the client. Such advance shall not exceed the period stipulated by SEBI; presently it is one quarter. In case of pre-mature termination of the RA services by either the client or the RA, the client shall be entitled to seek refund of proportionate fees only for unexpired period.

4. Fees to RA may be paid by the client through any of the specified modes like cheque, online bank transfer, UPI, etc. Cash payment is not allowed. Optionally the client can make payments through Centralized Fee Collection Mechanism (CeFCoM) managed by BSE Limited (i.e. currently recognized RAASB).

5. The RA is required to abide by the applicable regulations/ circulars/ directions specified by SEBI and RAASB from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. The RA will endeavor to promptly inform the client of any conflict of interest that may affect the services being rendered to the client.

6. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. No scheme of this nature shall be offered to the client by the RA.

7. The RA cannot guarantee returns, profits, accuracy, or risk-free investments from the use of the RA's research services. All opinions, projections, estimates of the RA are based on the analysis of available data under certain assumptions as of the date of preparation/publication of research report.

8. Any investment made based on recommendations in research reports are subject to market risks, and recommendations do not provide any assurance of returns. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report. Any reliance placed on the research report provided by the RA shall be as per the client's own judgement and assessment of the conclusions contained in the research report.

9. The SEBI registration, Enlistment with RAASB, and NISM certification do not guarantee the performance of the RA or assure any returns to the client.

10. For any grievances,

Step 1: the client should first contact the RA using the details on its website or following contact details:
(RA to provide details as per 'Grievance Redressal / Escalation Matrix')

Step 2: If the resolution is unsatisfactory, the client can also lodge grievances through SEBI's SCORES platform at https://scores.sebi.gov.in/

Step 3: The client may also consider the Online Dispute Resolution (ODR) through the Smart ODR portal at https://smartodr.in

11. Clients are required to keep contact details, including email id and mobile number/s updated with the RA at all times.

12. The RA shall never ask for the client's login credentials and OTPs for the client's Trading Account Demat Account and Bank Account. Never share such information with anyone including RA.

Declaration: I/We hereby confirm that i/we have read and understood the above mentioned contents of the standard 'Most Important Terms and Conditions'.

Signatures
*Sole holder/First holder (Individual Account)
*Second holder (Individual)
*Third holder (Individual)

MIRAE ASSET Sharekhan

SHAREKHAN LIMITED

CENTRAL KYC REGISTRY | KNOW YOUR CUSTOMER (KYC) APPLICATION FORM | INDIVIDUAL

Registered office address : 1st Floor, Tower No. 3, Equinox Business Park, LBS Marg, Off BKC, Kurla (West), Mumbai - 400 070, Maharashtra, India. | Tel: 022-6750 2000 | Website: www.sharekhan.com

For office use only
(To be filled by financial institution)

Application Type* ☐ New ☐ Update

KYC Number ☐☐☐☐☐☐☐☐☐☐☐☐☐☐ (Mandatory for KYC update request)

Account Type* ☐ Normal ☐ Minor ☐ Aadhaar OTP based E-KYC (in non-face to face mode)

1. PERSONAL DETAILS (Please fill the form in English and in BLOCK letters)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as per PAN card/PAN Site)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name				

Date of Birth* D D / M M / Y Y Y Y   Marital Status* ☐ Married ☐ Unmarried ☐ Others ____________

Gender* ☐ M - Male ☐ F- Female ☐ T-Transgender   Nationality ☐ IN-Indian ☐ Others____________

Residential Status* ☐ Resident Individual ☐ Non Resident Indian #Please specify separately in case Nationality and Citizenship is different.
☐ Foreign National ☐ Person of Indian Origin

Occupation Type* ☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector)
☐ O-Others (☐ Retired ☐ Housewife ☐ Student ☐ Professional)
☐ B-Business
☐ X-Not Categorised (Please Specify ____________________)

A- PAN Card* ☐☐☐☐☐☐☐☐☐☐

2. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID)

Mobile ☐☐–☐☐☐☐☐☐☐☐☐☐   Tel. (Off) ☐☐☐☐–☐☐☐☐☐☐☐☐

Tel. (Res) ☐☐☐☐–☐☐☐☐☐☐☐☐   Fax ☐☐☐☐–☐☐☐☐☐☐☐☐

Email ID ____________________

3. PROOF OF IDENTITY AND ADDRESS*

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

☐ A- Passport Number ☐☐☐☐☐☐☐☐
☐ B- Voter ID Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐
☐ C- Driving Licence ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
☐ D- NREGA Job Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
☐ E - National Population Register Letter ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
☐ F - Proof of Possession of Aadhaar X X X X X X X X ☐☐☐☐
☐ G - E-KYC Authentication X X X X X X X X ☐☐☐☐
☐ H- Offline verification of Aadhaar X X X X X X X X ☐☐☐☐

Address
Line 1* ____________________
Line 2 ____________________
Line 3 ____________________ City / Town / Village* ____________
District* ____________ Pin / Post Code* ____________ State ____________
Country ____________ Landmark ____________

4. CURRENT ADDRESS DETAILS

☐ Same as above mentioned address (in such cases address details as beiow need not be provided)

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

☐ A- Passport Number ☐☐☐☐☐☐☐☐
☐ B- Voter ID Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐
☐ C- Driving Licence ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
☐ D- NREGA Job Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
☐ E - National Population Register Letter ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
☐ F - Proof of Possession of Aadhaar X X X X X X X X ☐☐☐☐
☐ G - E-KYC Authentication X X X X X X X X ☐☐☐☐
☐ H- Offline verification of Aadhaar X X X X X X X X ☐☐☐☐
☐ I - Deemed Proof of Address ☐

Address
Line 1* ____________________
Line 2 ____________________
Line 3 ____________________ City / Town / Village* ____________
District* ____________ Pin / Post Code* ____________ State ____________
Country ____________ Landmark ____________

5. FATCA Details

Place of Birth (City) ________________ Country of Birth ☐ INDIA ☐ Other ______________

Are you a US person? ☐ Yes ☐ No Is your Tax Residency Other than India ☐ Yes ☐ No Any other information________________

If any of the above is yes, please indicate all countries in which you are resident for tax purpose and the associated Tax ID number below :

Sr. No	From Date*	Country of Tax Residency	Tax Idenfication No (TIN)	Identification Type
1				
2				
3				

Reason for not providing Tax Identification Number or Functional equivalent:____

Note: # In case of outside tax residency, kindly refer website https://www.oecd.org/en/networks/global-forum-tax-transparency/resources/aeoi-implementation-portal for correct TIN structure. Please note this data is uploaded to KRA and reportable to Income Tax authorities, accuracy is of utmost importance.

**Applicable only if Tax residency is other than India*

6. REMARKS (If any)

____

____

____

7. APPLICANT DECLARATION

- I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.
- I/We hereby consent to receiving information from Central KYC Registry and KRAs through SMS/Email on the above registered number/email address.
- I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRAs, CKYCR and other Intermediaries with whom I have a business relationship for KYC purposes only.

PHOTO

(1) ☞

Signature of Applicant

Date :______________________ Place :____________________

8. ATTESTATION / FOR OFFICE USE ONLY

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

This is to certify that I have carried out in-person verification in respect of the client mentioned in the KYC form.

KYC VERIFICATION CARRIED OUT BY

Date D D M M Y Y Y Y

Emp. Name ______________________

Emp. Code ______________________

Emp. Designation ______________________

Emp. Branch ______________________

[Employee Signature]

INSTITUTION DETAILS

Name : SHAREKHAN LIMITED

Code IN0344

[Institution Stamp]

ACCOUNT OPENING FORM FOR TRADING & DEPOSITORY

MIRAE ASSET Sharekhan

Client-ID (to be filled by DP) 1 2 0 3 6 0 0 0 Client Code/S2K ID ☐ ONLINE ☐ OFFLINE

I/We request you to open a ☐ Trading & Demat Account ☐ Trading Account (Please fill all the details in CAPITAL LETTERS only)

A. TYPE OF ACCOUNT INDIVIDUAL (Please tick whichever is applicable)

☐ Resident ☐ Others (please specify) ____________________

B. DETAILS OF ACCOUNT HOLDERS

First Holder/Client

Second Holder

Third Holder

Preferred user ID: (1) (2) (3)

C.STANDING INSTRUCTIONS

Sr. No.	Authorisations	Please Relevant
1.	Consent to receive credits automatically into my/our Account. (If not ticked, the default option would be "Yes")	☐ Yes ☐ No
2.	Account to be operated through Demat Debit and Pledge Instruction (DDPI)	☐ Yes ☑ No
3.	Consent to send Electronic Transaction-cum-Holding Statement at Sole/First Holder's email id stated in the KYC	☐ Yes ☐ No
4.	Consent to share the email ID with the RTA	☐ Yes ☐ No
5.	Consent to receive SMS Alerts from CDSL (T & C available on www.sharekhan.com)	☐ Yes ☐ No
6.	Consent to avail of the facility of internet trading / wireless technology	☐ Yes ☐ No
7.	Consent to avail of Exchange Margin Funding	☐ Yes ☐ No
8.	Consent to accept all the pledge instructions in my/our account without any other further instruction from my/our end. (If not ticked, the default option would be 'No')	☐ Yes ☐ No
9.	Consent to receive dividend / interest directly in to my bank account given below through ECS (If not ticked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	☐ Yes ☐ No
10.	Consent to download records from CKYCR and KRAs and share records and Aadhar data and documents to CKYCR and KRAs'	☐ Yes ☐ No
11.	Consent to receive standard account opening documents ☐ Electronic ☐ Physical	
12.	Mode of receiving Annual Reports & Statement of Accounts ☐ Physical ☐ Electronic ☐ Both Physical & Electronic (For all online clients or if not ticked, the default option would be Electronic) (Applicable for Demat Account)	
13.	Mode of receiving Contract Notes & Statement of Accounts ☐ Physical ☐ Electronic (For all online clients or if not ticked, the default option would be Electronic) (Applicable for Trading Account)	
14.	Account Statement Requirement ☐ As per SEBI Regulation ☐ Monthly	
15.	For Joint accounts, communication to be sent to (See Note 15) ☐ First Holder ☐ All Joint account holder	
16.	Mode of Operations for Joint Accounts ☐ Jointly ☐ Anyone of the holder or survivor(s)	

If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge/hypothecation/margin pledge/margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted.

easi	To register for easi, please visit CDSL's website:www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

D.	Nomination Option	
	☐ I/We wish to make a nomination. [Details are provided in Nomination Form Prescribed by SEBI]	☐ I/We wish to opt out of a nomination. [Declaration Form opting out of nomination as prescribed by SEBI]

	FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Gross Income Range Per Annum (Rs. in Lakhs)	☐ <1 ☐ 1-5 ☐ 5-10 ☐ 10-25 ☐ 25-1cr ☐ > 1cr	☐ <1 ☐ 1-5 ☐ 5-10 ☐ 10-25 ☐ 25-1cr ☐ > 1cr	☐ <1 ☐ 1-5 ☐ 5-10 ☐ 10-25 ☐ 25-1cr ☐ > 1cr
Networth : (should not be older than 1 year)	Amount (Rs.) ________ As on date d d m m y y y y	Amount (Rs.) ________ As on date d d m m y y y y	Amount (Rs.) ________ As on date d d m m y y y y
Additional Details, if applicable. (Please tick one or more as applicable)	☐ Politically Exposed Person(PEP) ☐ Related to a Politically Exposed Person (RPEP) ☐ Bureaucrat ☐ Civil Servant ☐ Politician ☐ Current/Former MP, MLA or MLC ☐ Current/Former Head of State ☐ Not PEP / Related to PEP	☐ Politically Exposed Person(PEP) ☐ Related to a Politically Exposed Person (RPEP) ☐ Bureaucrat ☐ Civil Servant ☐ Politician ☐ Current/Former MP, MLA or MLC ☐ Current/Former Head of State ☐ Not PEP / Related to PEP	☐ Politically Exposed Person(PEP) ☐ Related to a Politically Exposed Person (RPEP) ☐ Bureaucrat ☐ Civil Servant ☐ Politician ☐ Current/Former MP, MLA or MLC ☐ Current/Former Head of State ☐ Not PEP / Related to PEP

	FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Mobile Number Declaration (*Family to strictly include spouse, dependent children and dependent parents only. Kindly tick relevant option)	I hereby declare that the Mobile number as per CKYC belongs to ☐ Self OR ☐ Family*(specify relation) ☐ Spouse ☐ Dependent Children ☐ Dependent Parents Consent for SMS Alert facility ☐ Yes ☐ No	I hereby declare that the Mobile number as per CKYC belongs to ☐ Self OR ☐ Family*(specify relation) ☐ Spouse ☐ Dependent Children ☐ Dependent Parents Consent for SMS Alert facility ☐ Yes ☐ No	I hereby declare that the Mobile number as per CKYC belongs to ☐ Self OR ☐ Family*(specify relation) ☐ Spouse ☐ Dependent Children ☐ Dependent Parents Consent for SMS Alert facility ☐ Yes ☐ No
Email ID Declaration (*Family to strictly include spouse, dependent children and dependent parents only. Kindly tick relevant option)	I hereby declare that the Email ID as per CKYC belongs to ☐ Self OR ☐ Family*(specify relation) ☐ Spouse ☐ Dependent Children ☐ Dependent Parents	I hereby declare that the Email ID as per CKYC belongs to ☐ Self OR ☐ Family*(specify relation) ☐ Spouse ☐ Dependent Children ☐ Dependent Parents	I hereby declare that the Email ID as per CKYC belongs to ☐ Self OR ☐ Family*(specify relation) ☐ Spouse ☐ Dependent Children ☐ Dependent Parents
Nature of Business	______	______	______
Sources of Wealth / Income	☐ Salary ☐ Business ☐ Gift ☐ Rental Income ☐ Royalty ☐ Prize Money ☐ Ancestral Property ☐ Others (Please specify) ______	☐ Salary ☐ Business ☐ Gift ☐ Rental Income ☐ Royalty ☐ Prize Money ☐ Ancestral Property ☐ Others (Please specify) ______	☐ Salary ☐ Business ☐ Gift ☐ Rental Income ☐ Royalty ☐ Prize Money ☐ Ancestral Property ☐ Others (Please specify) ______

GST Details

GST Number: ______

GST Registered Address : ______

______ City: ______ Pincode: ______ State: ______

For First Holder Only:

Details in case of Employment/Business/Profession:

Name of Employer/Establishment ______

Address : ______ Country ______

UBO of Listed company: ☐ Yes ☐ No If yes, name of the listed company ______

E. DEALINGS THROUGH AUTHORISED PERSON & OTHER STOCK BROKERS ☐ No ☐ Yes (If yes, please mention details below)

Name of Authorised Person : ______

Registration No: NSE ☐☐☐☐☐☐☐☐☐☐ BSE ☐☐☐☐☐☐☐☐☐☐

R.O. Address: ______ Tel.: ______ Fax: ______ Website: ______

Whether registered with any other Stock Broker / Authorised Person (If registered with multiple Stock Broker, provide all details)

Name of Stock Broker: ______ Name of Authorised Person: ______

Name of Exchange: ______ Client Code No.: ______

Details of disputes / dues pending from / to such Stock Broker / Authorised Person: ......

Whether Employee/Agent/ Approved user / Authorised Person / Sub Broker of any other *Trading / Clearing Member: recognized stock exchange ☐ Yes ☐ No Name of Member ______ (Please provide consent letter from such Trading/Clearing Member)

Whether Broker of any Exchange ☐ Yes ☐ No Name of Exchange/s ______ (Please provide consent letter from such Exchange/s)

Whether Declared Defaulter/debarred/suspended By SEBI/RBI/any Other Recognized Stock Exchange/Commodity Exchange: ☐ Yes ☐ No

Details of any action/proceedings initiated /pending/taken by SEBI/Stock Exchange/any other authority against the Client during the last 3 years for violation of securities law/other economic offences (including action taken against relatives/associates) ______

F. INVESTMENT/TRADING EXPERIENCE & PREFERENCE

☐ No Prior Investment Experience ☐☐ Years in Equities ☐☐ Years In Derivatives ☐☐ Years in other Investment Related Field

G DEPOSITORY ACCOUNT DETAILS (Transactions would be generally routed through the below demat account.) (Default for Payout)

Depository : NSDL ☐ CDSL ☐ DP Name: ______

Beneficiary Name: ______ DP ID : ☐☐☐☐☐☐☐☐ BO ID: ☐☐☐☐☐☐☐☐

H. BANK ACCOUNT DETAILS

Default Bank (Through which payout transactions would be generally routed)	Additional Bank
Name & Address : ______	Name & Address : ______
Account No. ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐	Account No. ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
Account Type ☐ Saving ☐ Current ☐ Other: ______	Account Type ☐ Saving ☐ Current ☐ Other: ______
MICR Code ☐☐☐☐☐☐☐☐☐	MICR Code ☐☐☐☐☐☐☐☐☐
IFSC Code ☐☐☐☐☐☐☐☐☐☐☐	IFSC Code ☐☐☐☐☐☐☐☐☐☐☐
UPI/VPA ______	UPI/VPA ______

I. DP TARIFF SCHEME ("Schedule A") - (Scheme Details on Page 24)

a. Do you wish to opt for a Basic Services Demat Account (BSDA) ☐ Yes ☐ No

(**Note:** A BSDA is a low cost demat account for investors with holdings up to ₹10 lakh. You pay zero AMC up to ₹ 4 lakh and ₹100 AMC up to ₹10 lakh. Your eligibility for the BSDA facility will be confirmed following a review of your documents and internal eligibility criteria.)

b. If your account does not qualify for BSDA the standard DP tariff scheme **TC 100** will be applicable

J. OPTION FOR ISSUANCE OF DIS BOOKLET (*Please refer to the details in Tariff Sheet) (Option 1 in mandatory in case of BSDA A/cs.)

Option 1 : ☐ I/we do not wish to receive the Delivery Instruction Slip (DIS) booklet with account opening. However, the DIS booklet should be issued to me/us immediately on my/our request at any later date.

Option 2 : ☐ I/we wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.

K. For Commodity Segment Only : Participant Category*:

Commercial Participant	☐ Value Chain Participant	☐ Exporter	☐ Importer	☐ Hedger
Non Commercial Participant	☐ Financial Participant	☐ Trader	☐ Jobber	☐ Arbitrager

L. INTRODUCER DETAILS (Optional)

Name & Address of the Introducer:______________________________

Status of the Introducer: Remisier/ Authorised Person/ Existing Client/ Director or Employee of Trading Member/ any other Person (Please Specify) ______________________ Mobile No. / Tel. No. : |_|_|_|_|_|_|_|_|_|_|

Proof of Identity (POI) : ☐ PAN No. ☐ Passport No. ☐ Driving Licence ☐ Voter ID |_|_|_|_|_|_|_|_|_|_|_|_|

Signature: ➢ ______________________

M. BROKERAGE STRUCTURE (Mandatory)

	Cash Segment		Derivatives Segment		Currency Derivatives Segment	
	(Percentage)	Min. Rupees/ Paisa Per Share	Futures Segment (Percentage)	Options Segment ★ (Percentage)	Futures Segment (Percentage)	Options Segment ★ (Percentage)
First Leg						
Second Leg (Same day Sq. off)						
Delivery Brokerage			Same as Cash Segment		NA	NA
Next day square off	NA	NA				
Default Brokerage	☐		☐		☐	

	Commodity Segment	
	Futures Segment (Percentage)	Options Segment ★ (Percentage)
First Leg (Normal)		
Second Leg (Same day Sq. off)		
Next day square off		
Delivery Brokerage	Same as Cash Segment	
Default Brokerage	☐	

1. In case of unit price of securities of Rs. 10/- or less, then brokerage of Rs. 0.25 per share will be levied
2. Delivery Handling Charges (DHC) would be levied on each delivery based sell transaction (per scrip) where value of brokerage levied is less than Rs 21/- The value of DHC would be difference of Rs 21/- and the brokerage charged.
3. If total brokerage for all transactions in the cash segment is less than Rs. 21, then a brokerage of Rs. 21 or 2.5% of the transaction value, whichever is less, would be levied.
4. On all Square-off transactions initiated by Sharekhan Ltd, brokerage of 0.5% will be levied.
5. Stock(s) sold from CUSPA will attract "Stamp Duty" as invocation is required to do the pay-in for Non-POA clients (EDIS Clients)
6. Stamp duty/Stamp paper charges will be recovered on actual basis.

* Minimum amount per lot would be applicable as per the details provided in the policy and procedures.

• Expiry handling charges would be charged as applicable • Statutory cost will be charged as per Exchange / Regulatory Authorities • Trade Tiger access charges applicable from time to time • KYC Registration Agency (CKYC & KRA) charges will be levied as applicable.• Please refer the details of default brokerage, standard brokerage on option segments and schedule of charges in the Policy and Procedures.

N. STOCK EXCHANGES ON WHICH YOU WISH TO TRADE

Equity/Mutual Fund (BSE & NSE)	F & O (BSE & NSE)	Currency (BSE & NSE)	Commodity (MCX)
(2)☞	I have knowledge of trading in derivatives segment and am aware of risks associated therein (3)☞	I have knowledge of trading in currency derivatives segment and am aware of risks associated therein (4)☞	I have knowledge of trading in Commodity derivative segment and am aware of risks associated therein (5)☞

1. Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off / mentioned as NA.
2. In future, if you need to trade in any additional Segment/Exchange, not opted above, separate authorisation letter will be required.
3. In case of trading in Derivatives it is compulsory to submit proof of Financial Details.

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case of 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, received, explained and understood the contents of policies and procedures, terms & conditions governing Stock Broker, terms & conditions applicable for Margin Trading, Policy on Handling of My Good Till Date Orders, Risk Disclosure Documents & Do's & Don't's for trading on the Exchanges, Rights and Obligations applicable for Stock Brokers, Clients, Rights and Obligations applicable for Margin Trading Facility as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants & the tariff sheet, as available on the website on the company. I/We am/are further aware that a copy of Terms & Conditions governing Stock Broker, Risk Disclosure Document, Policy on Handling of My Good Till Date Orders, Policies and Procedures, Do's & Don't's for trading on the Exchanges and Rights and Obligations applicable for Stock Brokers, Authorized Persons & Clients, Rights and Obligations of Stock Brokers & Clients for Margin Trading Facility as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants will be received by me/us in electronic form on the email ID provided by me / us in the KYC Document. This KYC document shall be subject to the jurisdiction of the Courts in Mumbai. Further the conciliation hearing through SEBI ODR mechanism will be confidential and any video/ recording/ statements made related to the same will not be considered as evidence in court of law.
3. I/we have read and agree to be bound by the Rules, Regulations, bye laws, circulars and guidelines issued by SEBI, Exchanges, Stock Broker, AMFI, Mutual Funds, Depository and Depository Participant pertaining to my/our trading and demat account, as are in force from time to time.
4. I/we understand that the Stock Broker is relying on this information for the purpose of determining the status of the applicants named above in compliance with CRS/FATCA. The Stock Broker is not able to offer any tax advice on CRS or FATCA or its impact on the applicants and I/We shall seek advice from professional tax advisor for any tax questions. Further, I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. I/We agree, as may be required by Regulatory authorities, Stock Broker shall be required to comply to report, reportable details to CBDT or close or suspend my/our account.

   Section 277FAA of the Income tax Act as amended in 2023 prescribes penalties on inaccurate information furnished by the holder or holders of the relevant reportable account or accounts. As per Income Tax clause 271FAA (2) if there is any inaccuracy in the statement of financial transactions submitted by a prescribed reporting financial institution and such inaccuracy is due to false or inaccurate information submitted by the account holder, a penalty of five thousand rupees shall be imposable on such institution, in addition to the penalty leviable on such financial institution in the said section, if any. This penalty shall be levied by the income tax authority prescribed under sub-section (1) of section 285BA of the Act. Further, the reporting financial institution may recover the amount so paid on behalf of the account holder or retain out of any money that may be in its possession or may come to it from every such reportable account holder.
5. Under Penalty of perjury, I/We certify that:

   I. I/We am/are (i) Taxable as a US person under the laws of the United States of America("U.S") or any state of political subdivision thereof or therein, including the District of Columbia or any other states of U.S., (ii) and state that the income of which is subject to U.S. federal income tax regardless of the source thereof.(This clause is applicable only if the account holder/(s) is/are identified as a US person)

   ii. I/We am/are an applicant taxable as a tax resident under the laws of country outside India. (This clause is applicable only if the account holder is a tax resident outside of India)
6. I/We hereby confirm that I/we am/are not a US Person or a resident for tax purpose in any country other than India, though my/our Country of Birth suggests my/our relation with US or one or more parameters suggest my/our relation with the country outside India. I/we am/are providing / already provided copy of my PAN card and now providing a certificate of relinquishment of US citizenship (loss of nationality) OR reasons for not having such a certificate despite relinquishing US citizenship OR for not obtaining US citizenship at birth (only if born in US)

   Please specify reason:
7. I/We confirm having read and understood the guidelines pertaining to BSDA and is eligible to open a depository account as a BSDA holder. I/we will comply with the said guidelines and that in case my/our Demat Account opened under BSDA facility does not meet the eligibility for BSDA facility as per guidelines issued by SEBI or any such authority at any point of time, my/our BSDA account will be converted to Regular Demat Account without further reference to me/us and will be levied charges as applicable to regular accounts (applicable only if consented for BSDA facility).
8. I/We also declare that I/we have complied and will continue to comply with FEMA & other applicable regulations.
9. Declaration of Tax Conformity–I/We acknowledge that it is my responsibility to understand and comply with any tax obligations and requirements and the consequences thereof that may apply to me/us under the laws and regulations of my/our country of residence or any other relevant jurisdiction, and where appropriate to seek the necessary independent professional advice.

   Such obligations and requirements include the obligation to ensure that any account that I/we maintain with the Mirae Asset Sharekhan, as well as any assets (including cash, securities and other assets) deposited with the Mirae Asset Sharekhan under my/our name, and any income or proceeds in relation thereto, are disclosed to the relevant tax or other authorities in my/our country of residence and any other relevant jurisdiction.

In this respect, I/we hereby confirm that I/we understand such obligations and requirements and that I/we am/are compliant in respect thereof.

I/We herewith declare that all assets, including cash and securities, deposited in my account(s) with the Mirae Asset Sharekhan and the income or proceeds thereof, are currently and will continue to be fully disclosed to the relevant tax and any other authorities in my/our country of residence and in any other jurisdiction as required by the applicable laws and regulations.

I/We understand that should any of the aforementioned statement or undertaking be or become incorrect and should I/we not immediately correct the situation and prove this to the Sharekhan Ltd, the Sharekhan Ltd may decide to immediately terminate its relationship with me/us. I/We shall bear any damage resulting there from.

10. I/We hereby declare that I/we had provided Aadhaar Card as proof of Identity and/or proof address to Sharekhan Ltd even-though there were other documents accepted by Mirae Asset Sharekhan and I/we authorize Mirae Asset Sharekhan to share the copy and/or details of the Aadhaar card (excluding Aadhaar Number) as per the Regulatory/Exchange/Depository requirement. (Applicable in case Aadhaar card is provided as proof of address and/or identity)
11. I/We hereby confirm that Mirae Asset Sharekhan may update my/our name in all Exchanges as per the name available in Income Tax records.
12. I/We, opening demat account with Mirae Asset Sharekhan, hereby declare that I/we will submit only those inter depository transfer instructions in respect of Government Securities (G-Sec) which are bonafide and arising out of genuine trade or transfer transaction.
13. I/We hereby confirm that I/We am/are not subject to sanctions nor do I/We form a part of the sanctions lists enforced by the European Union ("EU"), France ("FR"), the United States ("U.S."), United Nations Security Council ("UNSC") or form part of the list of banned organizations, designated entities/individuals listed under the Unlawful Activities (Prevention) Act, 1967 and any sanctions lists notified by Government of India from time to time.
14. In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform the Stock Broker/Participant about the death of account holder(s) with required documents within one year of the date of demise.
15. In case if 'first holder' is selected, the communication will be sent as per the preference mentioned at Sr. No. 12 of C. Standing Instructions. In case 'All joint account holders' is opted, communication to first holder will be sent as per the preference mentioned at Sr. No. 12 of C. Standing Instructions and communication to other holders will be in electronic mode. The default option will be communication to 'first holder', if no option selected.
16. I/We hereby confirm that whenever there will be change of address, I/We will intimate you about the same.
17. I/We, provide consent for the disclosure of information and data relating to me/my accounts with Sharekhan Ltd and its group companies, that incase of any default, if any, committed by me/us, whereby as per Sharekhan Ltd's records there is any amount outstanding/due to be paid to Mirae Asset Sharekhan or its group companies then in such circumstance, Mirae Asset Sharekhan and or its group companies can lawfully with our full free consent disclose or share mine/our data including any personal information as Mirae Asset Sharekhan may deem appropriate and necessary for recovering dues with its Vendors, Contractors, Associates, Advocates, Accountants, Regulatory Agencies, RBI, CIBIL & Third Party Agents. And we hereby agree that Mirae Asset Sharekhan is within its rights to use this data by itself or through any authorised representative/ service provider or agent etc to recover the dues, initiate legal proceedings / litigations in dispute resolution forums etc.
18. I/We, confirm that on expiry of the time period for which Annual maintenance Charges (AMC) are levied by Mirae Asset Sharekhan, the liability and obligation to renew the same and ensure that the reduced charges continue to apply to my account rests with me as the client of Mirae Asset Sharekhan. Further I understand that the trading member reserves the right to extend or discontinue or change in partial/full the Annual Maintenance Charge (AMC) Scheme without any prior notice to me/us. We understand that the revised AMC shall become applicable from such date as may be decided by the trading member and communicated by the TM either on its website/ or by sms/email or any other electronic form as per the TM's discretion.

    I/We, agree that in case of discontinuation in AMC Scheme, default brokerage rate as applicable at relevant time displayed on website of Mirae Asset Sharekhan shall be applicable to my/our account.
19. For receiving Statement of Account in electronic form:
    - I. Client must ensure the confidentiality of the password of the email account.
    - II. Client must promptly inform the Participant if the email address has changed.
    - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Stock Broker/Depository Participant may also terminate this facility by giving 10 days prior notice.

	Name(s) of holder(s)/client	Specimen Signature of holder(s)/client
Sole/First Holder		(6)☞
Second Holder		(2)✏
Third Holder		(2)✑

Date:______________________________ Place:________________________

FOR OFFICE PURPOSES:

UCC Code allotted to the Client: (As mention on page no. 6 on account opening form)

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

I/ We undertake that we have made the client aware of `Policy and Procedures', tariff sheet and all the non-mandatory documents. I/ We have also made the client aware of 'Rights and Obligations' document(s), RDD and terms and conditions and handed over a copy of the same. 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', Terms and Conditions and RDD would be made available on my/ our website, if any, for the information of the clients.

I hereby confirm that, I have not directed, encouraged or assisted client with respect to strategies to their account as US accounts / Other reportable account. I have not given any tax advice to client."

Date:______________________________

Seal/ Stamp of Sharekhan Limited

(Name & Signature of the Authorised Signatory)

Particular	Name	Code
Franchisee / Branch Name		
Remisier Name		
Referring Employee Name		
Name of RM / Executive		
Name of Manager		
Lead Source		

Account opening charges : ____________________________________

In case of waiver of account opening charges:

Approved by (Name)	Designation	Signature with Stamp

Annexure-A

Format for providing Nomination

NOMINATION (☐ Depository A/c only ☐ Trading A/c only ☐ MF A/c only ☐ All) * PAN of Nominee Mandatory for Nomination in Trading A/c

☐ I/We hereby nominate the following person(s) who shall receive all the assets held in my / our account / folio in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) *

Mandatory Details			
Particular	**Nominee 1**	**Nominee 2**	**Nominee 3**
Nominee Name			
Nominee Relation			
Nominee DOB			
Nominee Guardian (Only for Minor Nominee)			
Guardian DOB (Only for Minor Nominee)			
Nominee Guardian Relationship (Only for Minor Nominee)			
Nominee Guardian PAN (Only for Minor Nominee)			

I want the following nomination details to be printed in the account / holding statements (tick one of the boxes below):

☐ Name of the Nominee(s)

☐ Whether nomination given: Yes / No (not name of the nominee)

Optional details of Nomination			
Share of Nominee (%)*			
** Nominee Email			
** Nominee Mobile			
Nominee Identity Type PAN/AADHAR/ DRIVING Licence No. Passport	PAN - ☐☐☐☐☐☐☐☐☐☐ Aadhar - X X X X X X X X ☐☐☐☐ D. L. No.________ Passport No.:________	PAN - ☐☐☐☐☐☐☐☐☐☐ Aadhar - X X X X X X X X ☐☐☐☐ D. L. No.________ Passport No.:________	PAN - ☐☐☐☐☐☐☐☐☐☐ Aadhar - X X X X X X X X ☐☐☐☐ D. L. No.________ Passport No.:________

* if % is not specified, then the assets shall be distributed equally amongst all the nominees (see table in 'Transmission aspects').

** Please note that the DP / MF RTA will be able to reach out to your nominee if you provide the contact details

*Joint Accounts

Event	Transmission of Account / Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners
Demise of all joint holders simultaneously - having nominee	Nominee
Demise of all joint holders simultaneously - not having nominee	Legal heir(s) of the youngest holder

This nomination shall supersede any prior nomination made by me/us, if any.

Name(s) of holder(s)		Signature(s) of holder*****
Sole / First Holder (Mr./Ms.)		(7)
Second Holder (Mr./Ms.)		(3)
Third Holder (Mr./Ms.)		(3)

****If nomination is submitted:

- **Online:** validate through Digital Signature Certificate or Aadhaar-based e-sign or by using any other e-sign facility recognized under Information Technology Act, 2000 or two factor authentication (2FA) in which one of the factors shall be a One-Time Password (OTP) sent to the registered mobile number and email address.
- **Physical / offline:** wet signature (signature of witness shall not be required). However, if thumb impression (instead of wet signature) is affixed, then the same shall be witnessed by two persons and details of such witnesses (name and address) shall be duly provided in this form.

Rights, Entitlement and Obligation of the investor and Nominee:

- If your are opening a new demat account / MF folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction. You are entitled to receive acknowledgement from the AMC / DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account / folio.
- In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account. You have the option to designate any one of your nominees to operate your account / folio, if case of your physical incapacity. This mandate can be changed any time you choose.
- The signatories for this nomination form in joint folios / account, shall be the same as that of your joint MF folio / demat account. i.e. o 'Either or Survivor' Folios / Accounts - any one of the holder can sign o 'Jointly' Folios / Accounts - both holders have to sign.

Transmission aspects

- AMCs / DPs shall transmit the folio / account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC / DP.
- In case of multiple nominees the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

Annexure-B

Declaration for opting-out of Nomination

I hereby confirm that I do not wish to appoint any nominee(s) to my demat account/ mutual fund folio at this point of time. I understand that –

(i) the nomination helps to quickly identify the person for transfer of securities and helps in faster and smoother transmission of my securities to my legal heir(s) after my demise.

(ii) in the absence of a nomination, my legal heir(s) may require the submission of certain additional legal or court-issued documents which may delay the process of transmission of securities to my legal heir(s).

(iii) if no claim is made on the account / folio for a prolonged period after my demise, the holdings may be treated as unclaimed assets and they may be transferred to Investor Education and protection Fund Authority (IEPF) in accordance with the applicable regulatory framework.

I confirm that I have understood the above implications and that my decision to opt out of nomination is voluntary.

Name and Signature of Holder(s)*

1.______________________ 2.______________________ 3.______________________

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

Notes:

1. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate, partnership firm, and Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
2 A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
3 Only individual / natural person(s) can be a nominee(s). The Nominee(s) shall not be artificial person created/dressed by the law or by a fiction such as trust, society, body corporate, partnership firm, Hindu Undivided Family etc. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
4 Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
5 Transfer of securities in favour of a Nominee(s) shall be valid discharge by the Exchange/Depository and the Trading Member/Depository Participant against the legal heir.
6 The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate, partnership firm and Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
7 On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
8 Nomination can be made upto three nominees in a trading or demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
9 On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM FOR NOMINATION at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
10 Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
11 DP ID and client ID shall be provided where demat details is required to be provided.
12 This nomination shall supersede any prior nomination made by the account holder(s), if any.
13 All communication shall be sent at the address of the Sole/First holder only.
14 Thumb impressions must be attested by witness or a Magistrate or a Notary Public or a Special Executive Magistrate
15 Signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
16 The nomination and Declaration form may be signed using e-Sign facility or wet signature and in these cases, witness will not be required.
17 Investors can provide, change or cancel nominations any number of times.
18 The signature of all the joint holders shall be obtained for providing / changing nomination regardless of mode of operations.
19 Investor have the right to receive acknowledgement of the nomination form for each instance of nomination / subsequent change.
20 Investors can change nomination any number of times

MANDATE FOR MAINTAINING THE ACCOUNT ON RUNNING ACCOUNT BASIS

To,

Sharekhan Limited
1st Floor, Tower No. 3, Equinox Business Park, LBS Marg,
Off BKC, Kurla (West), Mumbai 400 070, Maharashtra, India.

Dear Sir,

Notwithstanding anything contrary contained in any of the document or correspondence, I / We hereby severally give mandate to you for maintenance of my/our account with you on running account basis. This mandate shall be applicable to all segments across exchanges maintained with you including Mutual funds availed through NSE MFSS and / or BSE STAR MF or such other platform.

This mandate is voluntarily given by me / us as it is cumbersome for me / us to settle the accounts with you frequently. This will facilitate me/us in my transactions through you. I/We also request you to consider the balances in my/our funds, securities, mutual fund units and currency account with you for the purpose of margins/any other obligations due to you.

In view of the above it would be proper for you to release the funds, mutual fund units and securities due to me/us on my specific request, either written or oral. You may debit the charges of holding units/securities/commodities to my/our account with you.

I/We hereby agree to settle my/our funds/securities/mutual funds/commodities account on *Monthly/Quarterly basis as per SEBI guidelines. Further, I/We hereby declare that I/We retain the right to revoke this authorization at anytime.

Yours faithfully,

Date : ______________________________

Place : ______________________________

(8) ☞ ______________________________
Signature of Client

* In case not specified account would be settled in Quarterly basis.

(Voluntary)

PROFILE SHEET

Dear Customer,
Please select product that you wish to avail of:
Also, please answer a few questions to help us serve you better

Sr. No.	Questions	Option A	B	C	D	E	F
1	How would you like to trade with Mirae Asset Sharekhan?	Internet	Phone/Branch	Both			
2	Have you been investing or trading in the stock market?	Yes	No				
3	Do you trade in Cash market or Derivative market?	Cash	Derivative	Both	None		
4	What is your frequency of your investing / trading?	Many times a day	Once a day	Many times Week	Once a Week	Once a month or more	None
5	What is your current portfolio size? (Total investment in Shares and Mutual Funds)	Below 5 Lacs	5-25 Lacs	25-50 Lacs	50 Lacs and above	No Portfolio	
6	How much more do you plan to invest in stock market in the next 2 years?	Below 5 Lacs	5-25 Lacs	25-50 Lacs	50 Lacs and above		
7	In which range would your annual income fall in to?	Below 5 Lacs	5-25 Lacs	25-50 Lacs	50 Lacs and above		
8	What is your existing mode of transaction?	Internet based account	Non Internet account	No Broker			
9	Do you have a Relationship Manager allocated to you?	Yes	No	None			

Sr. No.	Questions	Options	
10	Would you like to undergo free education?	☐ Investments	☐ Trading strategies based on technical analysis
11	How long have you been investing in stocks?	☐ New ☐ 5 to 10 years	☐ 1 to 5 years ☐ More than 10 years
12	What is your source of stock market information?	☐ TV channels: ☐ CNBC ☐ Newspaper: ☐ Economic Times ☐ Mirae Asset Sharekhan Research Magazines ☐ Friends/Relatives ☐ Broker	☐ NDTV PROFIT ☐ Others (Specify)___________ ☐ Others (Specify)_____________ ☐ Other research magazines ☐ Others (Specify)
13	What is your marketstock preference?	Market preference ☐ Speculator ☐ Regular investor ☐ Occasional investment ☐ Trader	Stock preference ☐ High risk return ☐ Bluechip ☐ Stocks valued less than Rs10 ☐ Stocks recommended by Mirae Asset Sharekhan research ☐ Stocks recommended by other research houses

Other Brokerage Firm you are trading with please tick the						
	ICICI Securities	HDFC Securities	Kotak Securities	Reliance Money	Angel Broking	Anand Rathi
	India Infoline	Motilal Oswal	Indiabulls	Geojit	Religare	Any other_________
No Brokerage Firm ☐						

Other Product Interest	IPO	PMS	Mutual Fund	Insurance

FOR OFFICE USE
Profiling Code

1	2	3	4	5	6	7	8	9

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MIRAE ASSET Sharekhan

SHAREKHAN LIMITED

CENTRAL KYC REGISTRY | KNOW YOUR CUSTOMER (KYC) APPLICATION FORM | INDIVIDUAL

Registered office address : 1st Floor, Tower No. 3, Equinox Business Park, LBS Marg, Off BKC, Kurla (West), Mumbai - 400 070, Maharashtra, India. | Tel: 022-6750 2000 | Website: www.sharekhan.com

For office use only (To be filled by financial institution)

Application Type* ☐ New ☐ Update

KYC Number ☐☐☐☐☐☐☐☐☐☐☐☐☐☐ (Mandatory for KYC update request)

Account Type* ☐ Normal ☐ Minor ☐ Aadhaar OTP based E-KYC (in non-face to face mode)

1. PERSONAL DETAILS (Please fill the form in English and in BLOCK letters)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as per PAN card/PAN Site)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name				

Date of Birth* D D M M Y Y Y Y

Marital Status* ☐ Married ☐ Unmarried ☐ Others ____

Gender* ☐ M - Male ☐ F- Female ☐ T-Transgender

Nationality ☐ IN-Indian ☐ Others____

Residential Status* ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin

#Please specify separately in case Nationality and Citizenship is different.

Occupation Type* ☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector)
☐ O-Others (☐ Retired ☐ Housewife ☐ Student ☐ Professional)
☐ B-Business
☐ X-Not Categorised (Please Specify ____)

A- PAN Card* ☐☐☐☐☐☐☐☐☐☐

2. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID)

Mobile ☐☐–☐☐☐☐☐☐☐☐☐☐

Tel. (Off) ☐☐☐☐–☐☐☐☐☐☐☐☐

Tel. (Res) ☐☐☐☐–☐☐☐☐☐☐☐☐

Fax ☐☐☐☐–☐☐☐☐☐☐☐☐

Email ID ____

3. PROOF OF IDENTITY AND ADDRESS*

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

☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E - National Population Register Letter
☐ F - Proof of Possession of Aadhaar X X X X X X X X ☐☐☐☐
☐ G - E-KYC Authentication X X X X X X X X ☐☐☐☐
☐ H- Offline verification of Aadhaar X X X X X X X X ☐☐☐☐

Address

Line 1* ____

Line 2 ____

Line 3 ____ City / Town / Village* ____

District* ____ Pin / Post Code* ____ State ____

Country ____ Landmark ____

4. CURRENT ADDRESS DETAILS

☐ Same as above mentioned address (in such cases address details as beiow need not be provided)

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

☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E - National Population Register Letter
☐ F - Proof of Possession of Aadhaar X X X X X X X X ☐☐☐☐
☐ G - E-KYC Authentication X X X X X X X X ☐☐☐☐
☐ H- Offline verification of Aadhaar X X X X X X X X ☐☐☐☐
☐ I - Deemed Proof of Address ☐

Address

Line 1* ____

Line 2 ____

Line 3 ____ City / Town / Village* ____

District* ____ Pin / Post Code* ____ State ____

Country ____ Landmark ____

5. FATCA Details

Place of Birth (City) ________________ Country of Birth ☐ INDIA ☐ Other ______________

Are you a US person? ☐ Yes ☐ No Is your Tax Residency Other than India ☐ Yes ☐ No Any other information__________________

If any of the above is yes, please indicate all countries in which you are resident for tax purpose and the associated Tax ID number below :

Sr. No	From Date*	Country of Tax Residency	Tax Idenfication No (TIN)	Identification Type
1				
2				
3				

Reason for not providing Tax Identification Number or Functional equivalent:____

Note: # In case of outside tax residency, kindly refer website https://www.oecd.org/en/networks/global-forum-tax-transparency/resources/aeoi-implementation-portal for correct TIN structure. Please note this data is uploaded to KRA and reportable to Income Tax authorities, accuracy is of utmost importance.

**Applicable only if Tax residency is other than India*

6. REMARKS (If any)

____

____

____

7. APPLICANT DECLARATION

- I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.
- I/We hereby consent to receiving information from Central KYC Registry and KRAs through SMS/Email on the above registered number/email address.
- I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRAs, CKYCR and other Intermediaries with whom I have a business relationship for KYC purposes only.

PHOTO

(1)

Signature of Applicant

Date :______________________ Place :______________________

8. ATTESTATION / FOR OFFICE USE ONLY

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

This is to certify that I have carried out in-person verification in respect of the client mentioned in the KYC form.

KYC VERIFICATION CARRIED OUT BY

Date D D M M Y Y Y Y

Emp. Name ______________________

Emp. Code ______________________

Emp. Designation ______________________

Emp. Branch ______________________

[Employee Signature]

INSTITUTION DETAILS

Name : SHAREKHAN LIMITED

Code IN0344

[Institution Stamp]

MIRAE ASSET Sharekhan

SHAREKHAN LIMITED

CENTRAL KYC REGISTRY | KNOW YOUR CUSTOMER (KYC) APPLICATION FORM | INDIVIDUAL

Registered office address : 1st Floor, Tower No. 3, Equinox Business Park, LBS Marg, Off BKC, Kurla (West), Mumbai - 400 070, Maharashtra, India. | Tel: 022-6750 2000 | Website: www.sharekhan.com

For office use only (To be filled by financial institution)

Application Type* ☐ New ☐ Update

KYC Number ☐☐☐☐☐☐☐☐☐☐☐☐☐☐ (Mandatory for KYC update request)

Account Type* ☐ Normal ☐ Minor ☐ Aadhaar OTP based E-KYC (in non-face to face mode)

1. PERSONAL DETAILS (Please fill the form in English and in BLOCK letters)

Name* (Same as per PAN card/PAN Site) Prefix ____ First Name ____ Middle Name ____ Last Name ____

Maiden Name (If any*) ____ First Name ____ Middle Name ____ Last Name ____

Father / Spouse Name* ____ First Name ____ Middle Name ____ Last Name ____

Mother Name ____ First Name ____ Middle Name ____ Last Name ____

Date of Birth* D D M M Y Y Y Y

Marital Status* ☐ Married ☐ Unmarried ☐ Others ____

Gender* ☐ M - Male ☐ F- Female ☐ T-Transgender

Nationality ☐ IN-Indian ☐ Others ____

Residential Status* ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin

#Please specify separately in case Nationality and Citizenship is different.

Occupation Type* ☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector)
☐ O-Others (☐ Retired ☐ Housewife ☐ Student ☐ Professional)
☐ B-Business
☐ X-Not Categorised (Please Specify ____)

A- PAN Card* ☐☐☐☐☐☐☐☐☐☐

2. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID)

Mobile ☐☐–☐☐☐☐☐☐☐☐☐☐ Tel. (Off) ☐☐☐☐–☐☐☐☐☐☐☐☐

Tel. (Res) ☐☐☐☐–☐☐☐☐☐☐☐☐ Fax ☐☐☐☐–☐☐☐☐☐☐☐☐

Email ID ____

3. PROOF OF IDENTITY AND ADDRESS*

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

☐ A- Passport Number ☐☐☐☐☐☐☐☐
☐ B- Voter ID Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐
☐ C- Driving Licence ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
☐ D- NREGA Job Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
☐ E - National Population Register Letter ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
☐ F - Proof of Possession of Aadhaar X X X X X X X X ☐☐☐☐
☐ G - E-KYC Authentication X X X X X X X X ☐☐☐☐
☐ H- Offline verification of Aadhaar X X X X X X X X ☐☐☐☐

Address

Line 1* ____

Line 2 ____

Line 3 ____ City / Town / Village* ____

District* ____ Pin / Post Code* ____ State ____

Country ____ Landmark ____

4. CURRENT ADDRESS DETAILS

☐ Same as above mentioned address (in such cases address details as beiow need not be provided)

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

☐ A- Passport Number ☐☐☐☐☐☐☐☐
☐ B- Voter ID Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐
☐ C- Driving Licence ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
☐ D- NREGA Job Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
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☐ G - E-KYC Authentication X X X X X X X X ☐☐☐☐
☐ H- Offline verification of Aadhaar X X X X X X X X ☐☐☐☐
☐ I - Deemed Proof of Address ☐

Address

Line 1* ____

Line 2 ____

Line 3 ____ City / Town / Village* ____

District* ____ Pin / Post Code* ____ State ____

Country ____ Landmark ____

5. FATCA Details

Place of Birth (City) ________________ Country of Birth ☐ INDIA ☐ Other ______________

Are you a US person? ☐ Yes ☐ No Is your Tax Residency Other than India ☐ Yes ☐ No Any other information_________________

If any of the above is yes, please indicate all countries in which you are resident for tax purpose and the associated Tax ID number below :

Sr. No	From Date*	Country of Tax Residency	Tax Idenfication No (TIN)	Identification Type
1				
2				
3				

Reason for not providing Tax Identification Number or Functional equivalent:____

Note: # In case of outside tax residency, kindly refer website https://www.oecd.org/en/networks/global-forum-tax-transparency/resources/aeoi-implementation-portal for correct TIN structure. Please note this data is uploaded to KRA and reportable to Income Tax authorities, accuracy is of utmost importance.

**Applicable only if Tax residency is other than India*

6. REMARKS (If any)

____

____

____

7. APPLICANT DECLARATION

- I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.
- I/We hereby consent to receiving information from Central KYC Registry and KRAs through SMS/Email on the above registered number/email address.
- I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRAs, CKYCR and other Intermediaries with whom I have a business relationship for KYC purposes only.

PHOTO

(1)

Signature of Applicant

Date :______________________ Place :_____________________

8. ATTESTATION / FOR OFFICE USE ONLY

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

This is to certify that I have carried out in-person verification in respect of the client mentioned in the KYC form.

KYC VERIFICATION CARRIED OUT BY	
Date	D D M M Y Y Y Y
Emp. Name	
Emp. Code	
Emp. Designation	
Emp. Branch	
[Employee Signature]	

INSTITUTION DETAILS	
Name :	SHAREKHAN LIMITED
Code	IN0344
[Institution Stamp]	

MIRAE ASSET Sharekhan

Currency Underlying Exposure Declaration Letter to Trade Currency Derivatives

To,

Sharekhan Limited

Dear Team,

This is with reference to RBI Circular dated January 5, 2024 RBI/2023-24/108 P. (DIR Series) Circular No. 13 on the subject of Risk Management and Inter-Bank Dealings – Hedging of foreign exchange risk, I/We hereby declare following:

1. I/We have valid underlying exposure which has not been hedged using any another derivative contract;
2. I/We shall present sufficient evidences off the underlying exposure related to currency derivative contracts this details as and when requested by by Mirae Asset Sharekhan.
3. I/We are aware that deposition in the contracts shall be within the limits USD 100 million (or equivalent)in contracts involving INR as specified by exchanges / RBI. Further, these are backed by contracted exposure which is not hedged elsewhere;
4. I/We confirm that the notional amount and tenor of the derivative contract shall not exceed the value and tenor of the exposure;
5. I/We are aware that in case the exposure ceases to exist, in full or in part, the user has appropriately adjusted the hedge to ensure adherence to point 4 above, unless the original derivative contract is assigned against any other unhedged exposure. No adjustment to the hedge is required to be made if, in the considered opinion of the Authorised Dealer, the change in exposure is not material;
6. I/We are aware that if I/We intend to take position beyond USD 100 million (or equivalent) in contracts involving INR, in all Stock Exchanges put together, then an Authorised Dealer / Custodian shall be designated to monitor the transactions.
7. I/We shall always adhere to regulatory provisions as mentioned above and all the relevant circulars, Rules, Regulations & Guidelines issued by SEBI, RBI & Exchanges from time to time.
8. I/We confirm that the information submitted by me/us is true to the facts submitted by me/us and I/We shall be held responsible in case of any breach / incorrect information found.

I/We have read, understood and accepted the above terms and acknowledge with the above mentioned and request for allowing transactions in Currency segment in INR paired contracts against my/our permitted underlying exposure.

Client Name:____________________________

Signature : ____________________________

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Client ID:	"Schedule A" effective from September 1, 2025								
	Scheme Choosen								
	Scheme A AMC 400	Scheme B AMC 500	Scheme C AMC 350	Scheme D One Time 2999	Scheme E IPO 100	Scheme F Plain DP	Scheme		MF Holding
Transaction type	Scheme A (TC100)	Scheme B (TC108)	Scheme C (TC119)	Scheme D (TC117)**	Scheme E (TC120)	Scheme F (TC101)	BSDA A	BSDA B	TC 127 (50)
Deposit	Trading Client Code / Trading Application No. { ______________ }								
	Nil	Nil	Nil	Rs. 2999 (refund of deposit Rs. 2000 on closure)	Nil	Nil	Nil	Nil	Nil
Account Opening	Nil KRA charges as applicable								
Annual Maintenance Charges	Rs. 400 p.a* (DP Account, DDPI & Dig. Contract Notes Mandatory) (Not Applicable for BSDA clients)	Rs.500 p.a (DDPI & Dig. Contract Notes) (Not Applicable for BSDA clients)	Rs. 350 p.a* (DP Account, DDPI & Dig. Contract Notes Mandatory) (Not Applicable for BSDA clients)	Nil (DP Account, DDPI & Dig. Contract Notes Mandatory) (Not Applicable for BSDA clients)	Rs. 100 p.a* (DP Account, DDPI & Dig. Contract Notes Mandatory) (Not Applicable for BSDA clients)	Rs.500 p.a (Not Applicable for BSDA clients)	Nil (Value of holding upto Rs. 4,00,000)	Rs. 100 p.a. (Value of holding from Rs. 4,00,001 to Rs. 10,00,000)	*Nil
Sales - Through Mirae Asset Sharekhan	Nil	Nil	Rs. 6 Per transaction	Rs. 6 Per transaction	0.03% of the value of transaction. (Min.Rs.29)	0.03% of the value of transaction. (Min.Rs.30)	Nil	Nil	Nil
Purchases	Nil								
Delivery Handling Charges (DHC)#	Min Rs.21/- (on sale only)..Delivery Handling Charges (DHC) would be levied in case value of the brokerage levied is less than Rs. 21/- per scrip.	Min Rs.21/- (on sale only)..Delivery Handling Charges (DHC) would be levied in case value of the brokerage levied is less than Rs. 21/- per scrip.	N.A	N.A	N.A	N.A	Min Rs.21/- (on sale only).. Delivery Handling Charges (DHC) would be levied in case value of the brokerage levied is less than Rs. 21/- per scrip.	Min Rs.21/- (on sale only).. Delivery Handling Charges (DHC) would be levied in case value of the brokerage levied is less than Rs. 21/- per scrip.	Min Rs.21/- (on sale only).. Delivery Handling Charges (DHC) would be levied in case value of the brokerage levied is less than Rs. 21/- per scrip.
Other Charges: Sales - Not through Mirae Asset Sharekhan /Offmarket transfer/IDT	0.03% of the value of transaction. (Min.Rs.30 & Max. Rs. 5000/-) Per Transaction				0.03% of the value of transaction. (Min. Rs.49 & Max.Rs. 5000/-)	0.03% of the value of transaction. (Min.Rs.30 & Max. Rs. 5000/-) Per Transaction			
Client Master changes request	Nil								
Dematerialisation	Rs.5 per certificate (Min. Rs.50 per request)								Rs 50 per Request upto 10 Certificate there after Rs 5 per certificate
Rematerialisation /Repurchase	Rs. 50 per certificate or Rs. 50 for every hundred securities (Per request whichever higher)								
Margin Pledge Creation	A : Securities Margin Pledge				Rs. 20/- Per Transaction				
	B : Securities Pledge under Margin Funding				Rs. 30/- Per Transaction				
Pledge Creation	0.03% of the value of the transaction (Min Rs.100 & Max. Rs. 5000/-) (Per transaction)								
Freeze/De-freeze	Rs.25 (Per request)								
Stock Lending & Borrowing	0.02% of the value of the transaction (Min Rs.100) (Per request)								
Advance	Rs.500 (Advance which will be adjusted Against billing (Optional)								

*AMC Free for the first year
**This Scheme is valid for 10 years from the date of execution and then would be converted to TC 100.
Applicable in Trading account. Refer to trading brokerage structure.

Note: **1.** Mirae Asset Sharekhan reserves the right to revise the tariff by providing 30 days notice & this will be binding on all. **2.** Any service not quoted above will be charged separately. **3.**Transaction statement : Will be sent as per CDSL requirements at no extra cost. Every extra Statement shall be charged at Rs.10. If the number of pages exceeds 10 then every additional page will be charged at the rate of Rs.3 per page. **4.** All charges are exclusive of GST. **5.** In case of non payment of DP charge, Mirae Asset Sharekhan may levy interest@13% p.a.

***OPTION FORM FOR ISSUE OF DIS BOOKLET**

Option 1 : I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account though I/we have issued a Demat Debit and Pledge Instruction (DDPI)/executed PMS agreement in favour of/with Sharekhan Ltd (name of the attorney/clearing Member/PMS Manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member/by PMS Manager.

Option 2 : I/We do not require Delivery Instruction Slip (DIS) for the time being, since I/We have issued a DDPI/executed PMS agreement in favour of/with Sharekhan Ltd (name of the attorney/clearing Member/PMS Manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member/by PMS Manager. However the Delivery instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

- -

SHAREKHAN LIMITED

MIRAE ASSET Sharekhan

1st Floor, Tower No. 3, Equinox Business Park, LBS Marg, Off BKC, Kurla (W), Mumbai - 400 070, Maharashtra, India. | Tel: 022-6750 2000 | Website: www.sharekhan.com

Application No.

Date : _____ / _____ / _________

Acknowledgment Slip

Received the application from the following holder/s for opening a trading & depository account. Please quote the Client Code, DP ID & Client ID allotted to you in all your future correspondence.

Name of 1st Holder	Name of 2nd Holder	Name of 3rd Holder

Received Cheque No. ______________ Amount ______________ Bank Name ______________________________

Received Cheque No. ______________ Amount ______________ Bank Name ______________________________

Executive Name :______________________________ Executive Sign :______________________________

Outlet Name : ______________________________ Outlet Code :______________________________

For all queries, please call 022-69920600 (Local Call Charges) / 022-6115 0000 (If you are in Mumbai)
For DP Inquires & Queries email at dpcall@sharekhan.com & Broking Queries email at myaccount@sharekhan.com
Note : "Kindly DO NOT handover Cash / Shares to the sales executive for any reason whatsoever.

Mirae Asset Sharekhan
Seal and Signature

Investor Charter – Stock Brokers

Annexure-A

1. **VISION**

   To follow highest standards of ethics and compliances while facilitating the trading by clients in securities in a fair and transparent manner, so as to contribute in creation of wealth for investors.

2. **MISSION**

   i) To provide high quality and dependable service through innovation, capacity enhancement and use of technology.
   ii) To establish and maintain a relationship of trust and ethics with the investors.
   iii) To observe highest standard of compliances and transparency.
   iv) To always keep 'protection of investors' interest' as goal while providing service.
   v) To ensure confidentiality of information shared by investors unless such information is required to be provided in furtherance of discharging legal obligations or investors have provided specific consent to share such information.

3. **Services provided to Investors by stockbrokers include**

   I. Execution of trades on behalf of investors.
   II. Issuance of Contract Notes.
   III. Issuance of intimations regarding margin due payments.
   IV. Facilitate execution of early pay-in obligation instructions.
   V. Periodic Settlement of client's funds.
   VI. Issuance of retention statement of funds at the time of settlement.
   VII. Risk management systems to mitigate operational and market risk.
   VIII. Facilitate client profile changes in the system as instructed by the client.
   IX. Information sharing with the client w.r.t. relevant Market Infrastructure Institutions (MII) circulars.
   X. Provide a copy of Rights & Obligations document to the client.
   XI. Communicating Most Important terms and Conditions (MITC) to the client.
   XII. Redressal of Investor's grievances.

4. **Rights of Investors**

   I. Ask for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself (including website providing mandatory information).
   II. Receive complete information about the risks, obligations, and costs of any investment before investing.
   III. Receive a copy of all completed account forms and rights & obligation document.
   IV. Receive a copy of 'Most Important Terms & Conditions' (MITC).
   V. Receive account statements that are accurate and understandable.
   VI. Understand the terms and conditions of transactions you undertake.
   VII. Access your funds in a prescribed manner and receive information about any restrictions or limitations on access.
   VIII. Receive complete information about maintenance or service charges, transaction or redemption fees, and penalties in form of tariff sheet.
   IX. Discuss your grievances with compliance officer / compliance team / dedicated grievance redressal team of the firm and receive prompt attention to and fair consideration of your concerns.
   X. Close your zero balance accounts online with minimal documentation
   XI. Get the copies of all policies (including Most Important Terms and Conditions) of the broker related to dealings of your account
   XII. Not be discriminated against in terms of services offered to equivalent clients
   XIII. Get only those advertisement materials from the broker which adhere to Code of Advertisement norms in place
   XIV. In case of broker defaults, be compensated from the Exchange Investor Protection Fund as per the norms in place
   XV. Trade in derivatives after submission of relevant financial documents to the broker subject to brokers' adequate due diligence.
   XVI. Get warnings on the trading systems while placing orders in securities where surveillance measures are in place
   XVII. Get access to products and services in a suitable manner even if differently abled
   XVIII. Get access to educational materials of the MIIs and brokers
   XIX. Get access to all the exchanges of a particular segment you wish to deal with unless opted out specifically as per Broker norms
   XX. Deal with one or more stockbrokers of your choice without any compulsion of minimum business
   XXI. Have access to the escalation matrix for communication with the broker
   XXII. Not be bound by any clause prescribed by the Brokers which are contravening the Regulatory provisions.

5. Various activities of Stock Brokers with timelines

S.No.	Activities	
1.	KYC entered into KRA System and CKYCR	3 working days of account opening
2.	Client Onboarding	Immediate, but not later than one week
3.	Order execution	Immediate on receipt of order, but not later than the same day
4.	Allocation of Unique Client Code	Before trading
5.	Copy of duly completed Client Registration Documents to clients	7 days from the date of upload of Unique Client Code to the Exchange by the trading member
6.	Issuance of contract notes	24 hours of execution of trades
7.	Collection of upfront margin from client	Before initiation of trade
8.	Issuance of intimations regarding other margin due payments	At the end of the T day
9.	Settlement of client funds	First Friday/Saturday of the month / quarter as per Exchange pre-announced schedule
10.	'Statement of Accounts' for Funds, Securities and Commodities	Monthly basis
11.	Issuance of retention statement of funds/commodities	5 days from the date of settlement
12.	Issuance of Annual Global Statement	30 days from the end of the financial year
13.	Investor grievances redressal	21 calendar days from the receipt of the complaint

6. DOs and DON'Ts for Investors

Dos	DON'Ts
1. Read all documents and conditions being agreed before signing the account opening form. 2. Receive a copy of KYC, copy of account opening documents and Unique Client Code. 3. Read the product / operational framework / timelines related to various Trading and Clearing & Settlement processes. 4. Receive all information about brokerage, fees and other charges levied. 5. Register your mobile number and email ID in your trading, demat and bank accounts to get regular alerts on your transactions. 6. If executed, receive a copy of Demat Debit and Pledge Instruction (DDPI) However, DDPI is not a mandatory requirement as per SEBI / Stock Exchanges. Before granting DDPI, carefully examine the scope and implications of powers being granted. 7. Receive contract notes for trades executed, showing transaction price, brokerage, GST and STT/CTT etc. as applicable, separately, within 24 hours of execution of trades. 8. Receive funds and securities/ commodities on time, as prescribed by SEBI or exchange from time to time. 9. Verify details of trades, contract notes and statement of account and approach relevant authority for any discrepancies. Verify trade details on the Exchange websites from the trade verification facility provided by the Exchanges. 10. Receive statement of accounts periodically. If opted for running account settlement, account has to be settled by the stock broker as per the option given by the client (Monthly or Quarterly). 11. In case of any grievances, approach stock broker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines. 12. Retain documents for trading activity as it helps in resolving disputes, if they arise.	1. Do not deal with unregistered stock broker. 2. Do not forget to strike off blanks in your account opening and KYC. 3. Do not submit an incomplete account opening and KYC form. 4. Do not forget to inform any change in information linked to trading account and obtain confirmation of updation in the system. 5. Do not transfer funds, for the purposes of trading to anyone other than a stock broker. No payment should be made in name of employee of stock broker. 6. Do not ignore any emails / SMSs received with regards to trades done, from the Stock Exchange and raise a concern, if discrepancy is observed. 7. Do not opt for digital contracts, if not familiar with computers. 8. Do not share trading password. 9. Do not fall prey to fixed / guaranteed returns schemes. 10. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits. 11. Do not follow herd mentality for investments. Seek expert and professional advice for your investments

Additionally, Investors may refer to Dos and Don'ts issued by MIIs on their respective websites from time to time.

7. Grievance Redressal Mechanism

1	Investor complaint/Grievances	Investor can lodge complaint/grievance against stock broker in the following ways: **<u>Mode of filing the complaint with stock broker</u>** Investor can approach the Stock Broker at the designated Investor Grievance e-mail ID of the stock broker. The Stock Broker will strive to redress the grievance immediately, but not later than 21 days of the receipt of the grievance **<u>Mode of filing the complaint with stock exchanges</u>** i. SCORES 2.0 (a web based centralized grievance redressal system of SEBI) (https://scores.sebi.gov.in) <u>Two level review for complaint/grievance against stock broker:</u> • First review done by Designated body/Exchange • Second review done by SEBI ii. Emails to designated email IDs of Exchange
2	Online Dispute Resolution (ODR) platform for online Conciliation and Arbitration	If the Investor is not satisfied with the resolution provided by the Market Participants, then the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through online conciliation or arbitration.
3	Steps to be followed in ODR for Review, Conciliation and Arbitration	1. Investor to approach Market Participant for redressal of complaint 2. If investor is not satisfied with response of Market Participant, he/she has either of the following 2 options: i. May escalate the complaint on SEBI SCORES portal. ii. May also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration. 3. Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavor to resolve the matter between the Market Participant and investor within 21 days. 4. If the matter could not be amicably resolved, then the matter shall be referred for conciliation. 5. During the conciliation process, the conciliator will endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator with consent of the parties to dispute. 6. If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration. 7. The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days with consent of the parties to dispute.

8. <u>Handling of Investor's claims / complaints in case of default of a Trading Member / Clearing Member (TM/CM)</u>

Default of TM/CM

Following steps are carried out by Stock Exchange for benefit of investor, in case stock broker defaults:

- Circular is issued to inform about declaration of Stock Broker as Defaulter.
- Information of defaulter stock broker is disseminated on Stock Exchange website.
- Public Notice is issued informing declaration of a stock broker as defaulter and inviting claims within specified period.
- Intimation to clients of defaulter stock brokers via emails and SMS for facilitating lodging of claims within the specified period.

Following information is available on Stock Exchange website for information of investors:

- Norms for eligibility of claims for compensation from IPF.
- Claim form for lodging claim against defaulter stock broker.
- FAQ on processing of investors' claims against Defaulter stock broker.
- Provision to check online status of client's claim.
- Standard Operating Procedure (SOP) for handling of Claims of Investors in the Cases of Default by Brokers
- Claim processing policy against Defaulter/Expelled members
- List of Defaulter/Expelled members and public notice issued

Format for Investor Complaints Data to be displayed by Stock Brokers on their respective websites

Data for every month ending

S N	Received from	Carried forward from previous Month	Received during the Month	Total Pending	Resolved*	Pending at the end of the month**		Average Resolution time^ (in days)
						Pending for less than 3 months	Pending for more than 3 months	
1	2	3	4	5	6	7		8
1	Directly from Investors							
2	SEBI (SCORES 2.0)							
3	Stock Exchanges							
4	Other Sources (if any)							
5	Grand Total							

Trend of monthly disposal of complaints

SN	Month	Carried forward from previous Month	Received	Resolved*	Pending**
1	2	3	4	5	6
1	April -YYYY				
2	May-YYYY				
3	June-YYYY				
4	July-YYYY				
	....				
	.....				
	March-YYYY				
	Grand Total				

*Should include complaints of previous months resolved in the current month, if any.

**Should include total complaints pending as on the last day of the month, if any.

^Average resolution time is the sum total of time taken to resolve each complaint in the current month divided by total number of complaints resolved in the current month.

Trend of annual disposal of complaints

SN	Year	Carried forward from previous year	Received during the year	Received during the year	Pending at the end of the year
1	April -YYYY				
2	May-YYYY				
3	June-YYYY				
4	July-YYYY				
	Grand Total				

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Annexure A

INVESTOR CHARTER IN RESPECT OF RAs

A. **Vision and Mission Statements for investors**

- **Vision**

  Invest with knowledge & safety.

- **Mission**

Every investor should be able to invest in right investment products based on their needs, manage and monitor them to meet their goals, access reports and enjoy financial wellness.

B. **Details of business transacted by the Research Analyst with respect to the investors**

- To publish research report based on the research activities of the RA
- To provide an independent unbiased view on securities.
- To offer unbiased recommendation, disclosing the financial interests in recommended securities.
- To provide research recommendation, based on analysis of publicly available information and known observations.
- To conduct audit annually
- To ensure that all advertisements are in adherence to the provisions of the Advertisement Code for Research Analysts.
- To maintain records of interactions, with all clients including prospective clients (prior to onboarding), where any conversation related to the research services has taken place.

C. **Details of services provided to investors (No Indicative Timelines)**

- Onboarding of Clients
  - o Sharing of terms and conditions of research services
  - o Completing KYC of fee paying clients
- Disclosure to Clients:
  - o To disclose, information that is material for the client to make an informed decision, including details of its business activity, disciplinary history, the terms and conditions of research services, details of associates, risks and conflicts of interest, if any
  - o To disclose the extent of use of Artificial Intelligence tools in providing research services
  - o To disclose, while distributing a third party research report, any material conflict of interest of such third party research provider or provide web address that directs a recipient to the relevant disclosures
  - o To disclose any conflict of interest of the activities of providing research services with other activities of the research analyst.
- To distribute research reports and recommendations to the clients without discrimination.
- To maintain confidentiality w.r.t publication of the research report until made available in the public domain.
- To respect data privacy rights of clients and take measures to protect unauthorized use of their confidential information
- To disclose the timelines for the services provided by the research analyst to clients and ensure adherence to the said timelines
- To provide clear guidance and adequate caution notice to clients when providing recommendations for dealing in complex and high-risk financial products/services
- To treat all clients with honesty and integrity
- To ensure confidentiality of information shared by clients unless such information is required to be provided in furtherance of discharging legal obligations or a client has provided specific consent to share such information.

D. **Details of grievance redressal mechanism and how to access it**

1. Investor can lodge complaint/grievance against Research Analyst in the following ways:

Mode of filing the complaint with research analyst

In case of any grievance / complaint, an investor may approach the concerned Research Analyst who shall strive to redress the grievance immediately, but not later than 21 days of the receipt of the grievance.

Mode of filing the complaint on SCORES or with Research Analyst Administration and Supervisory Body (RAASB)

i. SCORES 2.0 (a web based centralized grievance redressal system of SEBI for facilitating effective grievance redressal in time-bound manner) (https://scores.sebi.gov.in)

Two level review for complaint/grievance against Research Analyst:

- First review done by designated body (RAASB)
- Second review done by SEBI

ii. Email to designated email ID of RAASB

2. If the Investor is not satisfied with the resolution provided by the Market Participants, then the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through online conciliation or arbitration.

With regard to physical complaints, investors may send their complaints to:

Office of Investor Assistance and Education, Securities and Exchange Board of India,

SEBI Bhavan, Plot No. C4-A, 'G' Block, Bandra-Kurla Complex, Bandra (E), Mumbai - 400 051

E. Rights of investors

- Right to Privacy and Confidentiality
- Right to Transparent Practices
- Right to fair and Equitable Treatment
- Right to Adequate Information
- Right to Initial and Continuing Disclosure
  - Right to receive information about all the statutory and regulatory disclosures
- Right to Fair & True Advertisement
- Right to Awareness about Service Parameters and Turnaround Times
- Right to be informed of the timelines for each service
- Right to be Heard and Satisfactory Grievance Redressal
- Right to have timely redressal
- Right to Exit from Financial product or service in accordance with the terms and conditions agreed with the research analyst
- Right to receive clear guidance and caution notice when dealing in Complex and High-Risk Financial Products and Services
- Additional Rights to vulnerable consumers
  - Right to get access to services in a suitable manner even if differently abled
- Right to provide feedback on the financial products and services used
- Right against coercive, unfair, and one-sided clauses in financial agreements

F. Expectations from the investors (Responsibilities of investors)

- **Do's**

i. Always deal with SEBI registered Research Analyst.

ii. Ensure that the Research Analyst has a valid registration certificate.

iii. Check for SEBI registration number.

Please refer to the list of all SEBI registered Research Analyst which is available on SEBI website in the following link: https://www.sebi.gov.in/sebiweb/other/OtherAction.do?doRecognisedFpi=yes&intmId=14)

iv. Always pay attention towards disclosures made in the research reports before investing.

v. Pay your Research Analyst through banking channels only and maintain duly signed receipts mentioning the details of your payments. You may make payment of fees through Centralized Fee Collection Mechanism (CeFCoM) of RAASB if research analyst has opted for the mechanism. (Applicable for fee paying clients only)

vi. Before buying/ selling securities or applying in public offer, check for the research recommendation provided by your Research Analyst.

vii. Ask all relevant questions and clear your doubts with your Research Analyst before acting on recommendation.

viii. Seek clarifications and guidance on research recommendations from your Research Analyst, especially if it involves complex and high risk financial products and services.

ix. Always be aware that you have the right to stop availing the service of a Research Analyst as per the terms of service agreed between you and your Research Analyst.

x. Always be aware that you have the right to provide feedback to your Research Analyst in respect of the services received.

xi. Always be aware that you will not be bound by any clause, prescribed by the research analyst, which is contravening any regulatory provisions.

xii. Inform SEBI about Research Analyst offering assured or guaranteed returns.

- **Don'ts**

i. Do not provide funds for investment to the Research Analyst.

ii. Don't fall prey to luring advertisements or market rumors.

iii. Do not get attracted to limited period discount or other incentive, gifts, etc. offered by Research Analyst.

iv. Do not share login credential and password of your trading, demat or bank accounts with the Research Analyst.

Annexure B

COMPLAINT DATA TO BE DISPLAYED BY RAs

Formats for investors complaints data to be disclosed monthly by RAs on their website/mobile application:

Data for the month ending -_______________

Sr. No.	Received from	Pending at the end of last month	Received	Resolved*	Total Pending#	Pending complaints > 3months	Average Resolution time^ (in days)
1	Directly from Investors						
2	SEBI (SCORES)						
3	Other Sources (if any)						
	Grand Total						

Number of complaints received during month against the RA due to impersonation by some other entity:

Note: In case of any complaints received against the RA due to impersonation of the RA by some other entity, the RA may adjust the number of such complaints from total number of received/resolved complaints while preparing the above table. Further, RA must close such impersonation related complaints after following the due process as specified by SEBI/ RAASB.

* Inclusive of complaints of previous months resolved in the current month.

Inclusive of complaints pending as on the last day of the month.

^ Average Resolution time is the sum total of time taken to resolve each complaint, in days, in the current month divided by total number of complaints resolved in the current month.

Trend of Monthly Disposal of Complaints

Sr. No.	Month	Carried forward from previous month	Received	Resolved*	Pending#
1	April, YYYY				
2	May, YYYY				
3	June, YYYY				
4	....				
5	March, YYYY				
	Grand Total				

* Inclusive of complaints of previous months resolved in the current month.

Inclusive of complaints pending as on the last day of the month.

Trend of Annual Disposal of Complaints

Sr. No.	Year	Carried forward from previous year	Received	Resolved*	Pending#
1	2021-22				
2	2022-23				
3	2023-24				
4	20XX-XX				
	Grand Total				

* Inclusive of complaints of previous years resolved in the current year.

Inclusive of complaints pending as on the last day of the year.

Achieve
Financial Freedom
SIP by SIP

Set up Systematic Investment Plans in mutual funds

MIRAE ASSET Sharekhan