

No.:

CLIENT **REGISTRATION** **FORM**

Individual

Join us for a Convenient
& Valuable Investing Experience!

NSDL

VERSION 21.5

Sharekhan

by BNP PARIBAS

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM**A. IMPORTANT POINTS:**

- Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.
- Fields marked with '*' are mandatory fields.
- Tick '✓' wherever applicable.
- Please fill all dates in DD-MM-YYYY format.
- KYC number of applicant is mandatory for updation of KYC details.
- For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
- Clarification / Guidelines on filling 'Personal Details' section
 - 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.
 - 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:

- 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.
- PAN card with photograph.
- Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions.
- 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.

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

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:

- Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
- Property or Municipal Tax receipt.
- Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
- 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.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- Aadhaar Letter issued by UIDAI shall be admissible as Proof of address in addition to Proof of Identity.
- 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.)

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

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| Sr. No. | Name of the Document | Brief Significance of the Document | Page No. |
|--|---|--|--------------|
| MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, DEPOSITORY & EXCHANGES | | | |
| 1. | Account Opening Form-Checklist & Instructions | The Document provides Instructions & Checklist relevant to opening of trading & demat account | 1 |
| 2. | Know Your Client (KYC) Application Form | This Document captures the basic information about the client/ Joint Holders for Trading & Demat Account respectively | 4-5 16-19 |
| 3. | Account Opening Form for Trading & Depository | This Document captures the additional information about the client relevant for opening Trading & Demat Account | 6-11 |
| 4. | Nomination Form | This Document captures the details of nominee(s) w.r.t. the trading and/or demat account/Mutual Fund and the details of guardian in case of minor nominee(s) | 12-13 |
| 5. | Tariff Sheet | This Document provides schedule of fee applicable for Depository Account | 20 |
| 6. | Other Documents | This document contain Policy & Procedure document | A-1 |

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

| | | | |
|----|--|---|-----|
| 7. | Mandate for maintaining the account on running account basis | This Document enables you to maintain your account on a running account basis. | 14 |
| 8. | Profile Sheet | This Document enables us to know your interest in the stock market so that we can serve you better | 15 |
| 9. | Demat Debit and Pledge Instruction' (DDPI) | This Document confers specific rights on Sharekhan for accessing your Demat account for the limited purpose of transferring the shares for meeting margin pledge/repledge/pay-in obligations for settlement of trades executed by you, Mutual fund transactions executed on Exchange platform & for Tendering shares in open offers through Stock Exchanges | A-2 |

SHAREKHAN LIMITED

Registered Office Address : The Ruby, 18th Floor, 29 Senapati Bapat Marg, Dadar (West), Mumbai – 400 028, Maharashtra, INDIA

Tel : 022 - 6750 2000 Fax : 022-24327343 | Website: www.sharekhan.com

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, Ponnammallee High Road, Above Maruti Kapico Show Room, Near Pachiyappas College, Chennai- 600010 | Tel : 044-49105050 / 28362900 / 28363160 / 49035050 / 49035051 | Website: www.sharekhan.com

| EXCHANGE | SEGMENT | SEBI REGISTRATION NO. | DATE | |
|----------|---------------------------|--------------------------|------------|--|
| BSE | CASH, F&O, CURRENCY | INZ000171337 | 26.03.2018 | <p>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 - 69920600</p> <p>Compliance Officer: Ms. Binkle R. Oza, Tel. No : 022 - 62263303</p> <p>E-mail ID: complianceofficer@sharekhan.com</p> <p>CEO Name: Mr. Jaideep Arora, Tel No. : 022 - 6750 2000, E-mail ID: ceo@sharekhan.com</p> <p>In case you are not satisfied with the response, please contact the concerned Exchange(s) as provided below:</p> <p>(1) NSE - ignse@nse.co.in or contact at 1800 2660 058</p> <p>(2) BSE - dis@bseindia.com or contact at 022 - 2272 8517</p> <p>(3) NSDL - relations@nsdl.co.in or contact at 022 - 2499 4200</p> <p>(4) CDSL - complaints@cdslindia.com or contact at 1800 225 533</p> <p>(5) MCX - grievance@mcxindia.com or contact at 022 - 6649 4070</p> <p>(6) SEBI - www.scores.gov.in or contact at 1800 2667 575</p> |
| NSE | | | | |
| MCX | COMMODITY | | | |

IMPORTANT NOTE

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

| BRANCH STAMP & DATE | H O STAMP & DATE |
|---------------------|------------------|
| | |

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 | Bombay Stock Exchange 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 | EMF | Exchange Margin 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 |

Registered office address : The Ruby, 18th Floor, 29 Senapati Bapat Marg, Dadar (West), Mumbai – 400 028, Maharashtra, INDIA,
Tel : 022 - 6750 2000 Fax : 022-2432 7343 | Website: www.sharekhan.com

For office use only

Application Type* ☐ New ☐ Update(To be filled by financial institution) 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) (As per OVD document only)

| | | | | |
|---------------------------|---|---|-------------|-----------|
| Name* (Same as OVD proof) | 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* | DD MM YYYY | Marital Status* <input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others | | |
| Gender* | <input type="checkbox"/> M - Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender | *Citizenship / Nationality <input type="checkbox"/> IN-Indian <input type="checkbox"/> Others | | |
| Residential Status* | <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin | #Please specify separately in case Nationality and Citizenship is different. | | |
| Occupation Type* | <input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector) <input type="checkbox"/> O-Others (<input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Professional) <input type="checkbox"/> B-Business <input type="checkbox"/> X-Not Categorized (Please Specify _____) | | | |
| A- PAN Card* | <input type="text"/> | | | |

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

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

Address

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

5. REMARKS (If any)

6. 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 : _____

7. ATTESTATION / FOR OFFICE USE ONLY

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

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 DD MM YYYY
Emp. Name _____
Emp. Code _____
Emp. Designation _____
Emp. Branch _____

[Employee Signature]

INSTITUTION DETAILS

Name : SHAREKHAN LIMITED
Code IN0344

[Institution Stamp]

Client-ID (to be filled by DP) | I | N | 3 | 0 | 0 | 5 | 1 | 3 | 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

[illegible]

Former / Aliases Name (if any) _____

Second Holder

[illegible]

Relationship with 1st Holder ☐ Spouse ☐ Children ☐ Parent ☐ Others (please specify) _____

[illegible]

Former / Aliases Name (if any) _____

Relationship with 1st Holder ☐ Spouse ☐ Children ☐ Parent ☐ Others (please specify) _____

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") | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 2. | Account to be operated through Demat Debit and Pledge Instruction (DDPI) | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| 3. | Consent to send Electronic Transaction-cum-Holding Statement at Sole/First Holder's email id stated in the KYC | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 4. | Consent to share the email ID with the RTA | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 5. | Consent to avail of the facility of internet trading / wireless technology | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 6. | Consent to avail of Exchange Margin Funding | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 7. | Consent to download records from CKYCR and KRAs and share records and Aadhar data and documents to CKYCR and KRAs' | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 8. | Consent to receive standard account opening documents <input type="checkbox"/> Electronic <input type="checkbox"/> Physical | |
| 9. | Mode of receiving Annual Reports & Statement of Accounts <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic (For all online clients or if not ticked, the default option would be Electronic) (Applicable for Demat Account) | |
| 10. | Mode of receiving Contract Notes & Statement of Accounts <input type="checkbox"/> Physical <input type="checkbox"/> Electronic (For all online clients or if not ticked, the default option would be Electronic) (Applicable for Trading Account) | |
| 11. | Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Monthly | |
| 12. | For Joint accounts, communication to be sent to (See Note 15) <input type="checkbox"/> First Holder <input type="checkbox"/> All Joint account holder | |
| 13. | Mode of Operations for Joint Accounts <input type="checkbox"/> Jointly <input type="checkbox"/> 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.

| | | |
|----|--|---|
| D. | Nomination Option | |
| | <input type="checkbox"/> I/We wish to make a nomination. [Details are provided in Nomination Form Prescribed by SEBI] | <input type="checkbox"/> 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) | <input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> > 1cr | <input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> > 1cr | <input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> > 1cr |
| Networth : (should not be older than 1 year) | Amount (Rs.) _____ As on date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> | Amount (Rs.) _____ As on date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> | Amount (Rs.) _____ As on date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> |
| Additional Details, if applicable. (Please tick one or more as applicable) | <input type="checkbox"/> Politically Exposed Person(PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Bureaucrat <input type="checkbox"/> Civil Servant <input type="checkbox"/> Politician <input type="checkbox"/> Current/Formar MP, MLA or MLC <input type="checkbox"/> Current/Formar Head of State <input type="checkbox"/> Not PEP / Related to PEP | <input type="checkbox"/> Politically Exposed Person(PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Bureaucrat <input type="checkbox"/> Civil Servant <input type="checkbox"/> Politician <input type="checkbox"/> Current/Formar MP, MLA or MLC <input type="checkbox"/> Current/Formar Head of State <input type="checkbox"/> Not PEP / Related to PEP | <input type="checkbox"/> Politically Exposed Person(PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Bureaucrat <input type="checkbox"/> Civil Servant <input type="checkbox"/> Politician <input type="checkbox"/> Current/Formar MP, MLA or MLC <input type="checkbox"/> Current/Formar Head of State <input type="checkbox"/> 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 <input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No | I hereby declare that the Mobile number as per CKYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No | I hereby declare that the Mobile number as per CKYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> 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 <input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents | I hereby declare that the Email ID as per CKYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents | I hereby declare that the Email ID as per CKYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family* (specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents |
| Nature of Business | | | |
| Sources of Wealth / Income | <input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Others (Please specify) _____ | <input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Others (Please specify) _____ | <input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Others (Please specify) _____ |
| Place of Birth Country of Birth | <input type="checkbox"/> INDIA <input type="checkbox"/> Other _____ | <input type="checkbox"/> INDIA <input type="checkbox"/> Other _____ | <input type="checkbox"/> INDIA <input type="checkbox"/> Other _____ |
| Any other information | | | |
| FATCA related information: | | | |
| Are you a US person? | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Is your Tax Residency other than India? | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 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 : | | | |
| Country of Tax Residency# | | | |
| Tax Identification Number* | | | |
| Identification Type | | | |
| Country of Tax Residency# | | | |
| Tax Identification Number* | | | |
| Identification Type | | | |
| #To include all countries other than India, where investor is Citizen/Resident/Green Card Holder/Tax Resident in those respective countries. *Incase tax identification number is not available, kindly provide its functional equivalent | | | |

For First Holder Only:

| | | |
|--|--|---|
| Details in case of Employment/Business/Profession: | | |
| Name of Employer/Establishment _____ | | |
| Address : _____ | | Country _____ |
| Designation: <input type="checkbox"/> Chairman <input type="checkbox"/> Director <input type="checkbox"/> CEO <input type="checkbox"/> CFO <input type="checkbox"/> COO <input type="checkbox"/> Others _____ | | |
| UBO of Listed company: <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, name of the listed company _____ | | |
| For Business / Professional Categories (mandatory wherever applicable): | | |
| Nature / Type _____ | | Registration No. _____ Registration Authority _____ |
| GST. No. (If Any) _____ | | IEC Code (In case of Exporter / Importer) _____ |

☐ 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 a ny 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

| | | | |
|---|--|---|--|
| <input type="checkbox"/> No Prior Investment Experience | <input type="checkbox"/> Years in Equities | <input type="checkbox"/> Years In Derivatives | <input type="checkbox"/> Years in other Investment Related Field |
|---|--|---|--|

Proposed Investment / Margin through Sharekhan: ₹ _____

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 <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other: _____ | Account Type <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other: _____ |
| MICR Code _____ | MICR Code _____ |
| IFSC Code _____ | IFSC Code _____ |
| UPI/VPA _____ | UPI/VPA _____ |

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

Consent to avail BSDA facility for new Demat account for which I/we have submitted the account opening form ☐ Yes ☐ No

☐ Scheme A (TC100) ☐ Scheme B (TC108) ☐ Scheme C (TC119) ☐ Scheme D (TC117) ☐ Scheme E (TC120) ☐ Scheme F (TC101)

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 | | <input type="checkbox"/> | | <input type="checkbox"/> | | <input type="checkbox"/> |

| | 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 | | <input type="checkbox"/> |

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)

* 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) |
|--------------------------------|---|--|--|
| | I have knowledge of trading in derivatives segment and am aware of risks associated therein | I have knowledge of trading in currency derivatives segment and am aware of risks associated therein | I have knowledge of trading in Commodity derivative segment and am aware of risks associated therein |
| (2) | (3) | (4) | (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

- 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.
- 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, 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, 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.
- 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.
- 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 CDBT or close or suspend my/our account.




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 Sharekhan, as well as any assets (including cash, securities and other assets) deposited with the 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 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 Sharekhan and I/we authorize 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 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 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.
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 Sharekhan or its group companies then in such circumstance, Sharekhan and or its group companies can lawfully with our full free consent disclose or share mine/our data including any personal information as 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 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.

18. I/We, confirm that on expiry of the time period for which Annual maintenance Charges (AMC) are levied by 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 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 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 |
|--------------------|-------------|----------------------|
| | | |

☐ I/We wish to make a nomination and do hereby nominate the person, details of whom are provided on nomination form who is/are entitled to receive securities / funds/ Mutual fund units balances lying in my/our account, in the event of my/our death.

| Nomination can be made upto three nominees in the account. | | Details of 1 st Nominee | Details of 2 nd Nominee | Details of 3 rd Nominee |
|---|---|------------------------------------|------------------------------------|------------------------------------|
| 1 | Name of the nominee(s) (Mr./Ms.) | | | |
| 2 | Share of each Nominee Equally <small>[If not equally, please specify percentage]</small> | % | % | % |
| Any odd lot after division shall be transferred to the first nominee mentioned in the form. | | | | |
| 3 | Relationship With the Applicant (If Any) | | | |
| 4 | Address of Nominee(s) City / Place: State & Country: | | | |
| | PIN Code | | | |
| 5 | Mobile/Telephone No. of nominee(s) | | | |
| 6 | Email ID of nominee(s) | | | |
| 7 | Nominee Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID | | | |
| Sr. Nos. 8-14 should be filled only if nominee(s) is a minor: | | | | |
| 8 | Date of Birth {in case of minor nominees(s)} | | | |
| 9 | Name of Guardian (Mr./Ms.) {in case of minor nominee(s)} | | | |
| 10 | Address of Guardian(s) City / Place: State & Country: | | | |
| | PIN Code | | | |
| 11 | Mobile/Telephone No. of Guardian | | | |
| 12 | Email ID of Guardian | | | |
| 13 | Relationship of Guardian with nominee | | | |
| 14 | Guardian Identification details- [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID | | | |
| Name(s) of holder(s) | | Signature(s) of holder | | |
| Sole / First Holder (Mr./Ms.) | | (7) | | |
| Second Holder (Mr./Ms.) | | (3) | | |
| Third Holder (Mr./Ms.) | | (3) | | |

Nomination Registration No _____

Date: DD MM YYYY

Declaration Form for opting out of nomination
[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601
dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

| | | | | | | | | | |
|--|------|---|---|---|---|---|---|---|---|
| To | Date | D | D | M | M | Y | Y | Y | Y |
| Sharekhan Limited The Ruby, 18th Floor, 29 Senapati Bapat Marg, Dadar (West), Mumbai – 400 028, Maharashtra, INDIA | | | | | | | | | |
| UCC/DP ID | I | N | | | | | | | |
| Client ID (only for Demat account) | | | | | | | | | |
| Sole/First Holder Name | | | | | | | | | |
| Second Holder Name | | | | | | | | | |
| Third Holder Name | | | | | | | | | |
| I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account. | | | | | | | | | |
| 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:

- 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.
- 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.
- 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.
- 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.
- 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.
- 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.
- 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).
- 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.
- 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.
- 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.
- DP ID and client ID shall be provided where demat details is required to be provided.
- This nomination shall supersede any prior nomination made by the account holder(s), if any.
- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impressions must be attested by witness or a Magistrate or a Notary Public or a Special Executive Magistrate
- 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.
- The nomination and Declaration form may be signed using e-Sign facility or wet signature and in these cases, witness will not be required.

MANDATE FOR MAINTAINING THE ACCOUNT ON RUNNING ACCOUNT BASIS

To,

Sharekhan Limited

The Ruby, 18th Floor, 29 Senapati Bapat Marg,
Dadar (West), Mumbai – 400 028, 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.

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 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 | | | |
| 10 | Would you like to undergo free education? | <input type="checkbox"/> Investments | | | <input type="checkbox"/> Trading strategies based on technical analysis | | |
| 11 | How long have you been investing in stocks? | <input type="checkbox"/> New <input type="checkbox"/> 5 to 10 years | | | <input type="checkbox"/> 1 to 5 years <input type="checkbox"/> More than 10 years | | |
| 12 | What is your source of stock market information? | <input type="checkbox"/> TV channels: <input type="checkbox"/> CNBC <input type="checkbox"/> Newspaper: <input type="checkbox"/> Economic Times <input type="checkbox"/> Sharekhan Research Magazines <input type="checkbox"/> Friends/Relatives <input type="checkbox"/> Broker | | | <input type="checkbox"/> NDTV PROFIT <input type="checkbox"/> Others (Specify)_____ <input type="checkbox"/> Others (Specify)_____ <input type="checkbox"/> Other research magazines <input type="checkbox"/> Others (Specify)_____ | | |
| 13 | What is your marketstock preference? | Market preference <input type="checkbox"/> Speculator <input type="checkbox"/> Regular investor <input type="checkbox"/> Occasional investment <input type="checkbox"/> Trader | | | Stock preference <input type="checkbox"/> High risk return <input type="checkbox"/> Bluechip <input type="checkbox"/> Stocks valued less than Rs10 <input type="checkbox"/> Stocks recommended by Sharekhan research <input type="checkbox"/> 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 <input type="checkbox"/> | | | | | | | |
| 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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Registered office address : The Ruby, 18th Floor, 29 Senapati Bapat Marg, Dadar (West), Mumbai – 400 028, Maharashtra, INDIA,
Tel : 022 - 6750 2000 Fax : 022-2432 7343 | Website: www.sharekhan.com

For office use only

Application Type* ☐ New ☐ Update(To be filled by financial institution) 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) (As per OVD document only)

| | | | | |
|---------------------------|---|---|-------------|-----------|
| Name* (Same as OVD proof) | 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* | DD MM YYYY | Marital Status* <input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others | | |
| Gender* | <input type="checkbox"/> M - Male <input type="checkbox"/> F - Female <input type="checkbox"/> T-Transgender | *Citizenship / Nationality <input type="checkbox"/> IN-Indian <input type="checkbox"/> Others | | |
| Residential Status* | <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin | #Please specify separately in case Nationality and Citizenship is different. | | |
| Occupation Type* | <input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector) <input type="checkbox"/> O-Others (<input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Professional) <input type="checkbox"/> B-Business <input type="checkbox"/> X-Not Categorized (Please Specify _____) | | | |
| A- PAN Card* | <input type="text"/> | | | |

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

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

Address

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

| |
|---------------------|
| 5. REMARKS (If any) |
| |
| |
| |

6. 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.

Date : _____ Place : _____

| | |
|---|--|
| <p style="font-size: 24px; margin: 0;">PHOTO</p> | <p style="font-size: 24px; margin: 0;">SIGNATURE</p> |
| <p>(1) _____</p> | |

Signature of Applicant

Place : _____

7. ATTESTATION / FOR OFFICE USE ONLY

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

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 | DD MM YYYY |
| Emp. Name | |
| Emp. Code | |
| Emp. Designation | |
| Emp. Branch | |
| [Employee Signature] | |


| INSTITUTION DETAILS | |
|--------------------------------|-------------------|
| Name : | SHAREKHAN LIMITED |
| Code | IN0344 |
| <div>[Institution Stamp]</div> | |

| |
|---------------------|
| 5. REMARKS (If any) |
| |
| |
| |

6. 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.

Date : _____ Place : _____

| | |
|---|--|
| <p style="font-size: 24px; margin: 0;">PHOTO</p> | |
| <p>(1)  _____</p> <p style="font-size: 18px; margin-top: 10px;">Signature of Applicant</p> | |

Place : _____

7. ATTESTATION / FOR OFFICE USE ONLY

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

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 | DD MM YYYY |
| Emp. Name | |
| Emp. Code | |
| Emp. Designation | |
| Emp. Branch | |
| [Employee Signature] | |

| INSTITUTION DETAILS | |
|--------------------------------|-------------------|
| Name : | SHAREKHAN LIMITED |
| Code | IN0344 |
| <div>[Institution Stamp]</div> | |

| Client ID: | "Schedule A" | | | | | | Scheme |
|--|---|---|--|---|--|--|--|
| | Scheme Chosen | | | | | | |
| | 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 | |
| Transaction type | Scheme A (TC100) | Scheme B (TC108) | Scheme C (TC119) | Scheme D (TC117)** | Scheme E (TC120) | Scheme F (TC101) | BSDA |
| Deposit | Trading Client Code / Trading Application No. { _____ } | | | | | | |
| | Nil | Nil | Nil | Rs. 2999 (refund of deposit Rs. 2000 on closure) | Nil | Nil | Nil |
| Account Opening | Nil (Stamp paper / KRA charges as applicable) | | | | | | |
| Annual Maintenance Charges | Rs. 400 p.a* (DP Account, DDPI & Dig. Contract Notes Mandatory) | Rs.500 p.a (without DDPI & Dig. Contract Notes) | Rs. 350 p.a* (DP Account, DDPI & Dig. Contract Notes Mandatory) | Nil (DP Account, DDPI & Dig. Contract Notes Mandatory) | Rs. 100 p.a* (DP Account, DDPI & Dig. Contract Notes Mandatory) | Rs.500 p.a | Nil (Value of holding other than debt securities upto Rs. 50,000/Value of debt securities upto Rs.1,00,000) OR Rs. 100 p.a. (Value of holding other than debt securities from Rs. 50,001 to Rs. 200,000/ Value of debt securities from Rs.1,00,001 to Rs. 2,00,000) |
| Sales - Through 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) | 0.03% of the value of transaction. (Min.Rs.49) |
| 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. |
| Sales - Not through Sharekhan/ Offmarket transfer/IDT | 0.03% of the value of transact on. (Min.Rs.30) | 0.03% of the value of transaction. (Min.Rs.30) | 0.03% of the value of transaction. (Min.Rs.30) | 0.03% of the value of transaction. (Min.Rs.30) | 0.03% of the value of transaction. (Min.Rs.49) | 0.03% of the value of transaction. (Min.Rs.30) | 0.03% of the value of transaction. (Min.Rs.49) |
| Client Master changes request | Nil | Nil | Nil | Nil | Nil | Nil | Rs. 30 per request |
| Dematerialisation | Rs.5 per certificate (Min. Rs.50 per request) | | | | | | (Min. Rs.100 per request) |
| 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) (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)) | | | | | | |
| <div>*AMC Free for the first year</div> <div>**This Scheme is valid for 10 years from the date of execution and then would be converted to TC 100.</div> <div># Applicable in Trading account. Refer to trading brokerage structure.</div> <div>Note: 1. 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 NSDL 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 and stamp paper / Stamp Duty 5. In case of non payment of DP charge, Sharekhan may levy interest@18% p.a.</div> | | | | | | | |
| <div>*OPTION FORM FOR ISSUE OF DIS BOOKLET</div> <div>Option 1 : I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our NSDL 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.</div> <div>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.</div> | | | | | | | |

NSDL Ind. - Ver. 21.5

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SHAREKHAN LIMITED

The Ruby, 18th Floor, 29 Senapati Bapat Marg, Dadar (West), Mumbai – 400 028, Maharashtra, INDIA

Tel : 022 - 67502000 | Fax : 022-24327343

Date : ____ / ____ / ____

Acknowledgment Slip

Application No. _____

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.

Sharekhan
Seal and Signature

NSDL Ind. - Ver. 21.5

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Achieve Financial Freedom

SIP by SIP

**Set up Systematic Investment Plans
in mutual funds**

Sharekhan

by BNP PARIBAS