



# PROFITMART

## **NON-INDIVIDUAL ACCOUNT OPENING FORM EQUITY & COMMODITY**

**PROFITMART SECURITIES PVT. LTD.**

|                    |  |                    |  |
|--------------------|--|--------------------|--|
| <b>Branch Name</b> |  | <b>Form No</b>     |  |
| <b>Branch Code</b> |  | <b>DP ID</b>       |  |
| <b>AP Name</b>     |  | <b>Client Code</b> |  |
| <b>AP Code</b>     |  | <b>Client Name</b> |  |

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| Risk Disclosure Document (RDD)                                   | Document detailing risks associated with dealing in the securities market.   |                          |
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### JURISDICTION:

All disputes arising from this contract / sale / agreement would be subject to the exclusive jurisdiction of courts in Mumbai, India

### DISCLOSURE IN TERMS OF SEBI CIRCULAR NO. SEBI/MRD/SE/CIR-42/2003 DATED NOVEMBER 19, 2003

**PROFITMART SECURITIES PVT. LTD.** caters to Institutional, Corporate, High network and other retail clients through membership of various exchanges.

**PROFITMART SECURITIES PVT. LTD.** besides doing client based business also does its own investment and/or trading.

**PROFITMART SECURITIES PVT. LTD.**

"Proprietary Trading Disclosure noted"

Client Name : \_\_\_\_\_

Director/Authorised Signatory

Client Code : \_\_\_\_\_

Signature of Client :  (1/23)

1. Name of Applicant (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

sign across

2

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/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 or 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.

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

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

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

- Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of

Residence/Driving License/Flat Maintenance bill/Insurance Copy.

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

### D. Exemptions/clarifications to PAN

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

- In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50,000/- p.a.
- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCI, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

### E. List of people authorized to attest the documents:

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

### F. In case of Non-Individuals, additional documents to be obtained from Non-individuals, over & above the POI & POA, as mentioned below:

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

**Details of Promoters/partners/karta/trustees and Whole Time Directors forming a part of KYC Application Form  
For Non Individuals**

Name of Applicant \_\_\_\_\_ PAN of the Applicant 

|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|
|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|

|   |   |
|---|---|
| <p>Name _____</p> <p>Regd./Residential Address _____</p> <p>_____</p> <p>Tel./Mobile No. _____ DIN No. _____</p> <p>Unique Identification No. (UID) / AADHAAR if any _____</p> <p>Relationship with Applicant _____ PAN No. _____</p> | <div style="border: 1px solid black; border-radius: 10px; height: 150px; margin: 0 auto; width: 100%;"></div> <p>PHOTOGRAPH</p> |
|---|---|

Please (✓) tick, if applicable ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ No.

Name of Applicant \_\_\_\_\_ PAN of the Applicant 

|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|
|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|

|   |   |
|---|---|
| <p>Name _____</p> <p>Regd./Residential Address _____</p> <p>_____</p> <p>Tel./Mobile No. _____ DIN No. _____</p> <p>Unique Identification No. (UID) / AADHAAR if any _____</p> <p>Relationship with Applicant _____ PAN No. _____</p> | <div style="border: 1px solid black; border-radius: 10px; height: 150px; margin: 0 auto; width: 100%;"></div> <p>PHOTOGRAPH</p> |
|---|---|

Please (✓) tick, if applicable ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ No.

Name of Applicant \_\_\_\_\_ PAN of the Applicant 

|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|
|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|

|   |   |
|---|---|
| <p>Name _____</p> <p>Regd./Residential Address _____</p> <p>_____</p> <p>Tel./Mobile No. _____ DIN No. _____</p> <p>Unique Identification No. (UID) / AADHAAR if any _____</p> <p>Relationship with Applicant _____ PAN No. _____</p> | <div style="border: 1px solid black; border-radius: 10px; height: 150px; margin: 0 auto; width: 100%;"></div> <p>PHOTOGRAPH</p> |
|---|---|

Please (✓) tick, if applicable ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ No.

Name & Signature of the Authorised Signatory(ies) \_\_\_\_\_

\_\_\_\_\_ Date \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Name of Applicant \_\_\_\_\_ PAN of the Applicant \_\_\_\_\_

|  |   |
|--|---|
| Name _____   | <div style="border: 1px solid black; width: 100px; height: 100px; margin: 0 auto;"></div> <p>PHOTOGRAPH</p> |
| Regd./Residential Address _____                        |   |
| Tel./Mobile No. _____ DIN No. _____                    |   |
| Unique Identification No. (UID) / AADHAAR if any _____ |   |
| Relationship with Applicant _____ PAN No. _____        |   |

Please (✓) tick, if applicable ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ No.

**ANNEXURE - 3**

For Individuals & Non-Individuals

**TRADING ACCOUNT RELATED DETAILS**

**A. BANK ACCOUNT(S) DETAILS** (First Bank A/c. is default Bank Ac., through which transaction will generally be routed)

|             | Default | Optional |
|-------------|---------|----------|
| Bank Name   |         |          |
| Address     |         |          |
| Type of A/c |         |          |
| A/c No.     |         |          |
| MICR No.    |         |          |
| IFSC Code   |         |          |

**For NRI's RBI PIS NO.**

**B. DEPOSITORY ACCOUNT(S) DETAILS** (First Depository A/c. is default Depository A/c)

Depository Participant details of the Client (In order of presence)

| DP Name                         | DP ID |   |   |   |   |   |   |   | Beneficiary Ac. No. |  |  |  |  |  |  |  |   |
|---------------------------------|-------|---|---|---|---|---|---|---|---------------------|--|--|--|--|--|--|--|---|
| PROFITMART SECURITIES PVT. LTD. | 1     | 2 | 0 | 8 | 3 | 6 | 0 | 0 |                     |  |  |  |  |  |  |  | <input checked="" type="checkbox"/> CDSL                    |
|                                 |       |   |   |   |   |   |   |   |                     |  |  |  |  |  |  |  | <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL |
|                                 |       |   |   |   |   |   |   |   |                     |  |  |  |  |  |  |  | <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL |

Note: First Holder of A/c should be same as that of Trading Account.

**C. TRADING PREFERENCES**

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

| Exchange            | NSE/BSE           | MCX               |
|---------------------|-------------------|-------------------|
| CASH                | <del>(4/23)</del> |                   |
| F&O                 | <del>(5/23)</del> |                   |
| CURRENCY DERIVATIVE | <del>(6/23)</del> |                   |
| MXC Future & Option |                   | <del>(7/23)</del> |

# If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

#### D. PAST ACTION

Details of any action/ proceedings initiated/ pending/ taken by SEBI / Stock Exchange/ any other authority against the applicant/constituent or its partners/promoters/whole time directors/ authorized persons in charge of dealing in securities during the last 3 years (If yes please give details): \_\_\_\_\_

#### E. DEALINGS THROUGH SUB-BROKERS/AUTHORIZED PERSON AND OTHER STOCK BROKERS

If client is dealing through the sub-broker/Authorized Person, provide the following details:

Sub-broker's/Authorized Person Name: \_\_\_\_\_ SEBI Registration No. \_\_\_\_\_

Registered office address: \_\_\_\_\_

Ph: \_\_\_\_\_ Fax: \_\_\_\_\_ Website: \_\_\_\_\_

- Whether dealing with any other stock broker/sub-broker/Authorized Person (if case dealing with multiple stock Brokers/Sub-Brokers /Authorized Person, provide details of all)

| Name of stock broker/<br>Authorized Person | Name of Sub-Broker/Authorized<br>Person , if any | Client Code | Exchange |
|--|--|-------------|----------|
|  |  |             |          |
|  |  |             |          |
|  |  |             |          |

Details of disputes/dues pending from/to such stock broker/sub- broker/Authorized Person: \_\_\_\_\_

#### F. ADDITIONAL DETAILS

- Whether you wish to receive ☐ physical contract note or ☐ Electronic Contract Note (ECN)

Specify your Email id, for ECN \_\_\_\_\_

SIGNATURE OF APPLICANT  (8/23)

Whether you wish to avail of the facility of internet trading ☐ Yes ☐ No

SIGNATURE OF APPLICANT  (9/23)

Number of years of Investment/Trading Experience: \_\_\_\_\_

#### G. INTRODUCER DETAILS

Name of the Introducer

Address of the Introducer

Status of the Introducer: ☐ Sub-broker ☐ Remisier ☐ Authorized Person ☐ Existing Client

☐ Employee ☐ Others, please specify

Phone No.

Signature of the Introducer:

**I. Other Details (please see guidelines overleaf)**

1. Gross Annual Income Details (Please tick ✓) ☐ Below1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ >25 Lacs

Net-worth in Rs. \_\_\_\_\_ \*Net worth should not be older than 1 year) as on (date)  D  D  M  M  Y  Y  Y  Y

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

☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business

☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife

☐ Student ☐ Others \_\_\_\_\_

Please tick, if applicable: ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP):


Any other information \_\_\_\_\_

|  |  |                                   |                                     |                                       |
|--|--|-----------------------------------|-------------------------------------|---------------------------------------|
| Client Category Commercial participant Noncommercial participant | <input type="checkbox"/> Value Chain Participant | <input type="checkbox"/> Exporter | <input type="checkbox"/> Importer   | <input type="checkbox"/> Hedger       |
|  | <input type="checkbox"/> Financial Participant   | <input type="checkbox"/> Trader   | <input type="checkbox"/> Arbitrager | <input type="checkbox"/> Others _____ |

**DECLARATION**

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Place \_\_\_\_\_

 (10/23)

Date \_\_\_\_\_

Signature of Client/ (all) Authorized Signatory (ies)

**FOR OFFICE USE ONLY**

|                             | Documents verified with Originals | Client Interviewed By | In-Person Verification done by |
|-----------------------------|-----------------------------------|-----------------------|--------------------------------|
| Name of the Employee        |                                   |                       |                                |
| Employee Code               |                                   |                       |                                |
| Designation of the employee |                                   |                       |                                |
| Date                        |                                   |                       |                                |
| Signature                   |                                   |                       |                                |



**PROFITMART SECURITIES PVT. LTD.**

328, 3RD Floor, Champak Lal Industrial Estate, Near MTNL Office, Near Sion Circle, Sion, Mumbai – 400 022.

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• URL: www.profitmart.in • Email: info@profitmart.in • CIN No: U65990MH2011PTC217211

**ACCOUNT OPENING FORM FOR NON-INDIVIDUAL**

TO BE FILLED BY THE DEPOSITORY PARTICIPANT

|  |                      |                                     |  |
|--|----------------------|-------------------------------------|--|
| APPLICATION NUMBER:  |                      | DATE (DD/MM/YYYY)                   |  |
| DP INTERNAL REFERENCE NUMBER:  |                      |                                     |  |
| DP ID  |                      | BO ID                               |  |
| TYPE OF ACCOUNT (PLEASE TICK WHICHEVER IS APPLICABLE)  |                      |                                     |  |
| STATUS<br><input type="checkbox"/> BODY CORPORATE <input type="checkbox"/> BANKS <input type="checkbox"/> TRUST <input type="checkbox"/> MUTUAL FUND <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI<br><input type="checkbox"/> CLEARING HOUSE <input type="checkbox"/> OTHER (SPECIFY) _____ |                      |                                     |  |
| SUB - STATUS (To be filed by the DP):  |                      |                                     |  |
| DATE OF INCORPORATION (DD/MM/YYYY)   |                      |                                     |  |
| SEBI REGISTRATION NO.:<br>(If applicable)  |                      | SEBI REGISTRATION DATE (DD/MM/YYYY) |  |
| RBI REGISTRATION NO.:<br>(If applicable)   |                      | RBI APPROVAL DATE (DD/MM/YYYY)      |  |
| NATIONALITY <input type="checkbox"/> INDIAN <input type="checkbox"/> OTHER (SPECIFY) _____   |                      |                                     |  |
| HOLDER DETAILS (TO BE FILLED BY THE APPLICANT IN BLOCK LETTERS)  |                      |                                     |  |
| I/We Request You To Open A Demat Account In my/our Name as per the following details:  |                      |                                     |  |
| APPLICANT NAME:  | PAN NO. (Compulsory) |                                     |  |
|  | UID/AADHAR NO.       |                                     |  |
| SOLE/FIRST AUTHORISED NAME:  | PAN NO. (Compulsory) |                                     |  |
|  | UID/AADHAR NO.       |                                     |  |
| SECOND AUTHORISED NAME:  | PAN NO. (Compulsory) |                                     |  |
|  | UID/AADHAR NO.       |                                     |  |
| THIRD AUTHORISED NAME:   | PAN NO. (Compulsory) |                                     |  |
|  | UID/AADHAR NO.       |                                     |  |
| NAME *:  |                      |                                     |  |
| * In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc. although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.   |                      |                                     |  |
| CLEARING MEMBER DETAILS (TO BE FILLED BY CMs ONLY)   |                      |                                     |  |
| NAME OF STOCK EXCHANGE:  |                      | NAME OF CC/CH:                      |  |
| CLEARING MEMBER ID:  |                      | TRADING MEMBER ID:                  |  |
| I / We would like to instruct the DP to receive each and every credit in my/our account. (If not marked, the default option would be 'Yes')<br><input type="checkbox"/> YES <input type="checkbox"/> NO  |                      |                                     |  |
| I / We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (If not marked, the default option would be 'No')<br><input type="checkbox"/> YES <input type="checkbox"/> NO   |                      |                                     |  |
| Account Statement Requirement <input type="checkbox"/> AS PER SEBI REGULATION <input type="checkbox"/> DAILY <input type="checkbox"/> WEEKLY <input type="checkbox"/> FORTNIGHTLY <input type="checkbox"/> MONTHLY   |                      |                                     |  |
| I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID<br><input type="checkbox"/> YES <input type="checkbox"/> NO _____  |                      |                                     |  |
| I / We would like to share the email ID with the RTA<br><input type="checkbox"/> YES <input type="checkbox"/> NO   |                      |                                     |  |
| I / We would like to receive the Annual Report (Tick the applicable box. If not marked, the default option would be in Physical)<br><input type="checkbox"/> PHYSICAL <input type="checkbox"/> ELECTRONIC <input type="checkbox"/> BOTH PHYSICAL AND ELECTRONIC  |                      |                                     |  |

| <b>ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT (HUF/LLP)</b><br><b>TO BE FILLED BY THE BY DEPOSITORY PARTICIPANT</b>  |  |  |  |  |   |  |  |                      |  |
|---|--|--|--|--|---|--|--|----------------------|--|
| APPLICATION NUMBER:   |  |  |  |  | DATE (DD/MM/YYYY) <input type="text"/>    |  |  |                      |  |
| DP INTERNAL REFERENCE NUMBER:   |  |  |  |  |   |  |  |                      |  |
| DP ID <input type="text"/>  |  |  |  |  | BO ID <input type="text"/>                |  |  |                      |  |
| TYPE OF ACCOUNT (PLEASE TICK WHICHEVER IS APPLICABLE)   |  |  |  |  |   |  |  |                      |  |
| STATUS  |  | SUB - STATUS   |  |  |   |  |  |                      |  |
| <input type="checkbox"/> INDIVIDUAL   |  | <input type="checkbox"/> INDIVIDUAL RESIDENT<br><input type="checkbox"/> INDIVIDUAL DIRECTOR'S RELATIVE<br><input type="checkbox"/> INDIVIDUAL PROMOTER<br><input type="checkbox"/> INDIVIDUAL MARGIN TRADING A/C (MANTRA) |  |  |   | <input type="checkbox"/> INDIVIDUAL DIRECTOR<br><input type="checkbox"/> INDIVIDUAL HUF / AOP<br><input type="checkbox"/> MINOR<br><input type="checkbox"/> OTHERS (SPECIFY) _____ |  |                      |  |
|   |  | <input type="checkbox"/> NRI<br><input type="checkbox"/> NRI REPATRIABLE<br><input type="checkbox"/> NRI REPATRIABLE PROMOTER<br><input type="checkbox"/> NRI DEPOSITORY RECEIPTS  |  |  |   | <input type="checkbox"/> NRI NON - REPATRIABLE<br><input type="checkbox"/> NRI NON - REPATRIABLE PROMOTER<br><input type="checkbox"/> OTHERS (SPECIFY) _____                       |  |                      |  |
|   |  | <input type="checkbox"/> FOREIGN NATIONAL<br><input type="checkbox"/> FOREIGN NATIONAL DEPOSITORY RECEIPTS   |  |  |   | <input type="checkbox"/> OTHERS (SPECIFY) _____  |  |                      |  |
|   |  |  |  |  |   |  |  |                      |  |
| HOLDER DETAILS  |  |  |  |  |   |  |  |                      |  |
| I/We Request You To Open A Demat Account In my/ our Name as per following details:  |  |  |  |  |   |  |  |                      |  |
| SOLE/FIRST HOLDER'S NAME  |  |  |  |  |   |  |  |                      |  |
| Sole / First Holder's Name  |  | <input type="text"/>   |  |  |   |  |  |                      |  |
| PAN   |  | <input type="text"/>   |  |  |   | UID  |  | <input type="text"/> |  |
| Second Holder's Name  |  | <input type="text"/>   |  |  |   |  |  |                      |  |
| PAN   |  | <input type="text"/>   |  |  |   | UID  |  | <input type="text"/> |  |
| Third Holder's Name   |  | <input type="text"/>   |  |  |   |  |  |                      |  |
| PAN   |  | <input type="text"/>   |  |  |   | UID  |  | <input type="text"/> |  |
| *In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc. although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above. |  |  |  |  |   |  |  |                      |  |
| DETAILS OF GUARDIAN (IN CASE THE ACCOUNT HOLDER IS MINOR)   |  |  |  |  |   |  |  |                      |  |
| GUARDIAN'S NAME:  |  |  |  |  |   |  |  |                      |  |
| RELATIONSHIP WITH THE APPLICANT:  |  |  |  |  | PAN NO. (Compulsory) <input type="text"/> |  |  |                      |  |
| I / We instruct the DP to receive each and every credit in my/our account. (If not marked, the default option would be 'Yes')   |  |  |  |  |   |  |  |                      |  |
| <input type="checkbox"/> Yes <input type="checkbox"/> No  |  |  |  |  |   |  |  |                      |  |
| I / We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (If not marked, the default option would be 'No')  |  |  |  |  |   |  |  |                      |  |
| <input type="checkbox"/> Yes <input type="checkbox"/> No  |  |  |  |  |   |  |  |                      |  |
| <input type="checkbox"/> Account Statement Requirement <input type="checkbox"/> AS PER SEBI REGULATION <input type="checkbox"/> DAILY <input type="checkbox"/> WEEKLY <input type="checkbox"/> FORTNIGHTLY <input type="checkbox"/> MONTHLY   |  |  |  |  |   |  |  |                      |  |
| I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID   |  |  |  |  |   |  |  |                      |  |
| <input type="checkbox"/> Yes <input type="checkbox"/> No  |  |  |  |  |   |  |  |                      |  |
| I / We would like to share the email ID with the RTA <input type="checkbox"/> YES <input type="checkbox"/> NO   |  |  |  |  |   |  |  |                      |  |
| I / We would like to receive the Annual Report (Tick the applicable box. If not marked, the default option would be in Physical)  |  |  |  |  |   |  |  |                      |  |
| <input type="checkbox"/> PHYSICAL <input type="checkbox"/> ELECTRONIC <input type="checkbox"/> BOTH PHYSICAL AND ELECTRONIC   |  |  |  |  |   |  |  |                      |  |
| I / We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]   |  |  |  |  |   |  |  |                      |  |
| <input type="checkbox"/> YES <input type="checkbox"/> NO  |  |  |  |  |   |  |  |                      |  |

☐ YES      ☐ NO

☐ PHYSICAL    ☐ ELECTRONIC    ☐ BOTH PHYSICAL AND ELECTRONIC

☐ YES      ☐ NO

## Bank Details [Dividend Bank Details]

Account type ☐ Saving ☐ Current ☐ Others (specify) ☐

Option for issuance of Delivery Instruction Slip (DIS) booklet alongwith account opening (to be filled by persons seeking to open depository account who have given Power of Attorney to operate the depository account to a Stock Broker / Portfolio Manager for executing delivery instruction for setting stock exchange trades & do not intend to open a Basic Services Demat Account)

Options for Issue of DIS booklet (please tick any one)

|   |   |
|---|---|
| Basic Services Demat Account (BSDA) Confirmation<br>(Note : If opted client should sign BSDA Tariff Sheet separately) | <input type="checkbox"/> I/We wish to opt for BSDA<br><input type="checkbox"/> I/We do not wish to opt for BSDA till my further instructions from my side |
|---|---|

I/We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.

I/We wish to register the following clearing member Ids under my / our below mentioned BO ID registered for TRUST

EASI

Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

Basic Services Demat A/C facility: ☐ YES (Please sign the BSDA declaration) ☐ NO

OTHER DETAILS

## OTHER DETAILS

☐ UP TO RS. 1 LAC   ☐ RS. 1 LAC - RS. 5 LAC   ☐ RS. 5 LAC - RS. 10 LAC  
☐ RS. 10 LAC - RS. 25 LAC   ☐ MORE THAN RS. 25 LAC

VALUE IN Rs. \_\_\_\_\_

DATE (DD/MM/YYYY)    |    |    |    |    |    |    |    |    |

☐ PRIVATE / PUBLIC SECTOR    ☐ GOVT. SERVICE    ☐ BUSINESS    ☐ PROFESSIONAL    ☐ AGRICULTURE  
☐ RETIRED    ☐ HOUSEWIFE    ☐ STUDENT    ☐ OTHER (SPECIFY) \_\_\_\_\_

**ANY OTHER INFORMATION:**

| NOMINATION DETAILS  |  |                          |  |                          |                   |                          |  |  |  | (TRADING & DEMAT) |
|---|--|--------------------------|--|--------------------------|-------------------|--------------------------|--|--|--|-------------------|
| DP ID   1   2   0   8   3   6   0   0   |  |                          |  |                          | BO ID             |                          |  |  |  |                   |
| NOMINATION REGISTRATION NO.:  |  |                          |  |                          | DATE (DD/MM/YYYY) |                          |  |  |  |                   |
| <p>Dear Sir / Madam,</p> <p>I/We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:</p> <p><input type="checkbox"/> I <b>I/We do not wish to nominate any one for this demat account.</b></p> <p>[Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form].</p> <p><input type="checkbox"/> I/We <b>nominate</b> the following person/s who is entitled to receive security balances lying in my/our account, particulars where of are given below, in the event of the death of the Sole holder or the death of all the Joint Holders</p> |  |                          |  |                          |                   |                          |  |  |  |                   |
| <b>Nomination Details</b>   |  | <b>Nominee 1</b>         |  | <b>Nominee 2</b>         |                   | <b>Nominee 3</b>         |  |  |  |                   |
| Nominee Name :  |  |                          |  |                          |                   |                          |  |  |  |                   |
| *First Name:  |  |                          |  |                          |                   |                          |  |  |  |                   |
| Middle Name:  |  |                          |  |                          |                   |                          |  |  |  |                   |
| *Last Name  |  |                          |  |                          |                   |                          |  |  |  |                   |
| *Address:   |  |                          |  |                          |                   |                          |  |  |  |                   |
| Telephone No.   |  |                          |  |                          |                   |                          |  |  |  |                   |
| Fax No.   |  |                          |  |                          |                   |                          |  |  |  |                   |
| PAN No.   |  |                          |  |                          |                   |                          |  |  |  |                   |
| UID   |  |                          |  |                          |                   |                          |  |  |  |                   |
| Email ID  |  |                          |  |                          |                   |                          |  |  |  |                   |
| *Relationship with the BO:  |  |                          |  |                          |                   |                          |  |  |  |                   |
| Date of birth (mandatory if Nominee is a minor)dd-mm-yyyy   |  |                          |  |                          |                   |                          |  |  |  |                   |
| Name of the Guardian of Nominee (if nominee is a minor)   |  |                          |  |                          |                   |                          |  |  |  |                   |
| *First Name:  |  |                          |  |                          |                   |                          |  |  |  |                   |
| Middle Name:  |  |                          |  |                          |                   |                          |  |  |  |                   |
| *Last Name  |  |                          |  |                          |                   |                          |  |  |  |                   |
| *Address of the Guardian of nominee:  |  |                          |  |                          |                   |                          |  |  |  |                   |
| Age   |  |                          |  |                          |                   |                          |  |  |  |                   |
| Telephone No.   |  |                          |  |                          |                   |                          |  |  |  |                   |
| Fax No.   |  |                          |  |                          |                   |                          |  |  |  |                   |
| Email ID  |  |                          |  |                          |                   |                          |  |  |  |                   |
| *Relationship of the Guardian with the Nominee  |  |                          |  |                          |                   |                          |  |  |  |                   |
| *Percentage of allocation of securities   |  |                          |  |                          |                   |                          |  |  |  |                   |
| *Residual Securities [please tick any one nominee. If tick not marked default will be first nominee]:   |  | <input type="checkbox"/> |  | <input type="checkbox"/> |                   | <input type="checkbox"/> |  |  |  |                   |

**Note :** Residual securities: incase of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

|                         |                          |                           |                             |
|-------------------------|--------------------------|---------------------------|-----------------------------|
|                         | <b>First/Sole Holder</b> | <b>Second Holder</b>      | <b>Third Holder</b>         |
| <b>Signature</b>        | (11/23)                  |                           |                             |
| <b>Names of Witness</b> |                          | <b>Address of Witness</b> | <b>Signature of Witness</b> |
|                         |                          |                           |                             |



## TARIFF SHEET

MANDATORY


| BROKERAGE DETAILS           |              |         |             |         |                 |         |  |                   |                 |                   |
|-----------------------------|--------------|---------|-------------|---------|-----------------|---------|--|-------------------|-----------------|-------------------|
|                             | Cash Segment |         | F&O Future  |         | Currency Future |         | F&O Option   |                   | Currency Option |                   |
|                             | Min (Paise)  | Max (%) | Min (Paise) | Max (%) | Min (Paise)     | Max (%) | % on Premium   | Min Per Lot (Rs.) | % on Premium    | Min Per Lot (Rs.) |
| Trading 1st Leg             |              |         |             |         |                 |         |  |                   |                 |                   |
| Trading 2nd Leg             |              |         |             |         |                 |         |  |                   |                 |                   |
| One Side/Both Side          |              |         |             |         |                 |         |  |                   |                 |                   |
| Delivery Brokerage          |              |         |             |         |                 |         |  |                   |                 |                   |
| BROKERAGE DETAILS COMMODITY |              |         |             |         |                 |         |  |                   |                 |                   |
| Type                        | Brokerage %  |         |             |         |                 |         | Charge On  |                   |                 |                   |
| Trading                     |              |         |             |         |                 |         | <input type="checkbox"/> One Side <input type="checkbox"/> Both Side |                   |                 |                   |
| Delivery                    |              |         |             |         |                 |         |  |                   |                 |                   |
| Options                     |              |         |             |         |                 |         |  |                   |                 |                   |

Interest @ 18% p.a will be charged on the outstanding bill / margin amount if not paid within the due date. The above tariff is subject to change. Changes if any will be intimated 30 days in advance. Annual Maintenance Charge (AMC) is non refundable. GST, applicable on all above charges except stamp charges. Stock Delivery handling charges will be 17/- Per scrip and Instant Live SMS charges will be Rs 50/- per month. Clearing Member(CM) charges will be Rs .004% of Turnover in F&O Segment and .04% of premium in Option Segment. .001% charges will be applicable for Additional Product / features i.e. Cover order/ basket order. Mobile trading charges will 2/- Rs. per trade. Stock Delivery /Demat Auto Payout/Intra Settlement/ Charges Rupees 17 per scrip. Bank Charges like RTGS/NEFT/Cheque Return etc at actual. Penalties Charged by Exchanges / SEBI / Any Regulatory Authorities ONLY if it is due to Clients Defaults / Errors / Violations

| TARIFF STRUCTURE DP   |  |
|---|--|
| CHARGE HEAD   | CHARGES  |
| Annual Maintenance Charges  | – Rs. 999 Life Time + Rs. 500 CDSL Charges   |
| Transaction charges Market / Of Market / Interdepository Transactions | – Rs. 20/- per scrip   |
| Pledge Charges Creation / Closure and Confirmation of both            | – 0.02% of the transaction charges subject to a minimum of Rs. 50/- plus NSDL / CDSL charges at actual.  |
| Pledge Charges for Invocation   | – 0.05% of the transaction charges subject to a minimum of Rs. 50/-  |
| Dematerialization Charges   | – Rs 10.00 per certificate plus courier charges of Rs. 35/- per demat request for every 500 gms.   |
| Rematerialization Charges   | – Rs. 25/- per certificate or 0.05% of the value whichever is higher.  |
| SLB Charges   | – For Securities Borrowings: Rs. 25/- plus NSDL / CDSL charges at actuals.<br>– For Securities Lending: Rs. 25/- plus NSDL / CDSL charges at actuals.  |
| Repurchase / Redemption Charges                                       | – Flat Rs. 25/- per transaction plus Depository charges at actuals.  |
| Failed / Rejected Transactions  | – Rs. 50/- per transaction.  |
| Demat Rejection Charges   | – Rs. 35/- per rejection for every 500 gms.  |
| Statement Requests  | – Adhoc statement requests: - Rs. 25/-   |
| E-Mail Statement  | – Periodic Bills and Transactions statements and other communications will be sent by email only. Terms and Conditions for the same to be mandatorily executed. Requests for physical statements will be charged as mentioned above. |
| Cheque Bounce charges   | – Charges will be applied based on charges as determined by our bankers.   |

The stock broker shall not charge brokerage more than maximum brokerage permissible as per the rules, regulation and bye-laws of the relevant exchange and / or rules and regulation of SEBI

DP Interest @ 13% p.a will be charged on the outstanding bill amount if not paid within the due date. The above tariff is subject to change. Changes if any be intimated 30 days in advance. Annual Maintenance Charge (AMC) is non refundable. GST, Education Cess and Higher Education Cess applicable on all above charges except stamp charges

| First/Sole Holder Signature   | Second Holder Signature | Third Holder Signature |
|---|-------------------------|------------------------|
|  (14/23) |                         |                        |

**A Refusal of orders for Penny Stock:**

The broker reserves his right to accept orders for buy or sell of stocks that quote at a relatively low price or have low floating stock. He will not be held responsible for any loss of opportunity by the client

**B. Setting up client's exposure limit:**

The Client is aware and agrees that trading exposure limit provided to each client may not be of same multiple, and it is discretionary prerogative of the broker to allow distinct permissible exposure to each client. The broker may seek upto 100% margin before accepting any order

**C. Brokerage rate:**

Brokerage will be charged to the clients at rates not exceeding the limit prescribed by the Exchange and at the value which is mutually agreed between the Client and the broker

**D Imposition of penalty / delayed payment charges by either party, specifying the rate and the period not resulting in funding by the broker in contravention of the applicable laws:**

The Client has executed a 'Running Account authorisation' in favour of the broker with intent to have ready margin to meet his or her trading needs. No interest is payable by the broker on credit balances, if any. The broker is not into the business of funding client positions, delayed payment will be charge of 1½% per month.

**E. The right to sell client's securities or clients' positions, without giving notice to the client, on account of non-payment of client's dues (this shall be limited to the extent of settlement / margin obligation):**

In the event of non-payment of settlement obligations the broker reserves the right to liquidate securities or open positions of the client to the extent of clearing the debit balance standing in financial ledger or margin obligation.

**F. Shortages in obligations arising out of internal netting of trades:**

There could be instances when a client does not deliver shares against its sale position, and coincidentally another client is to receive shares of the same scrip. In such a scenario the position will be subject to the Brokers discretion :

- (i) The Settlement positions will be closed by the broker at valuation rate.
- (ii) The benefit calculated during the next days price after the payment day shall be recovered from the defaulting client & passed on to the respective beneficial client.

**G Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client:**

Under any of the circumstances, such as, client's failure to meet pay-in or margin obligations or clearance of outstanding/debit balance with broker before permissible time limit or beyond such period as may be allowed by broker as per its RMS policy, the Client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligation, outstanding etc. Even, broker can firstly set-off or adjust the payment or securities towards various dues and obligation of the client and until the full clearance of the same, shall not allow the client to take further / fresh position

Further, it would be the duty of the client to monitor his/her/its position with the Broker from time to time. In case of any delay or failure in meeting any obligation, margin requirements etc. from client side, broker might close the existing position or open position WITHOUT ANY FURTHER INTIMATION to the client as per RMS policy. Such Circumstances may include (but not limited to):

- (i) failure to meet pay-in obligation on T+1 day,
- (ii) delay in meeting the pay-in or margin requirement,
- (iii) delay or failure in clearance of outstanding or dues to the broker,
- (iv) returning or frequent returning of cheques of the client,
- (v) Unnecessary / Unwarranted dispute from client without any substantial cause / reason,
- (vi) Client's attitude of not coming to the amicable settlement for any dispute that can be settled without involvement of Exchange and / or SEBI.
- (vii) As per prevalent RMS policy of the Broker,
- (viii) Any direction from SEBI/Exchange or such other authorities,
- (ix) Under such other circumstances as the Broker might think just and proper on case to case basis

**H Temporarily suspending or closing a client's account based at the client's request:**

The Broker and/or client may suspend Client's Trading Account from further dealing in the securities market through the broker in following circumstances:

- (a) as per Client's prior written request of atleast 3 days submitted to Broker at its Mumbai H.O. duly acknowledged by Broker (subject to clearance of entire outstanding/obligations),
- (b) Dormant or in-active status of client beyond specified time limit as may be prescribed by Broker,
- (c) Under any circumstances mentioned in (i) to (ix) above.

**I Deregistering a Client:**

Notwithstanding anything to the contrary stated in the mandatory & voluntary client registration documents, the stock broker shall be entitled to terminate the mandatory & voluntary client registration documents, with immediate effect in any of:



- (i) Regulatory actions of the SEBI or any of its arms;
- (ii) Commencement of a legal process against the client under prevailing laws of land;
- (iii) Death or lunacy or disability resulting in inaction of the client.
- (iv) Breach of any term, condition or covenant of this mandatory & voluntary client registration documents
- (v) Detection of misrepresentation of facts by the client;
- (vi) The client having voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- (vii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

**Dormant / Inactive Client Account:**

It is the broker's discretion to treat a client account as dormant / inactive if there is no activity in an account for more than six months from the last trade. In such cases, reactivation of his trading account the client has to submit recent proof as required at that time to comply with the current KYC norms.

I/We have fully understood the above and do hereby sign the same these policies and procedures may be amended unilaterally by the broker, provided the amendment is informed to me / us by an approved mode of communication. These policies and procedures shall always be read along with the mandatory & voluntary client registration documents, and shall be compulsorily referred to while deciding any dispute or claim between me / us and broker before any regulator or arbitrator or court of law.

**Statutory & Other Charges:**

Brokerage will be exclusive of Transaction Charges, Stamp Duty, Security Transaction Tax, GST, CM Charges, SEBI Turnover fees or any other tax/levy imposed by Exchange/SEBI/any other government agencies.

**J. Digitally Signed contract Notes/ Confirmations**

The member shall send the contract notes, trade confirmations, bills, account statement, notice, circular, ledger confirmation, margin statement, demat account holding statement and all other communication on the designated Email Id of the client who have opted to receive contract notes in electronic form.

**K. Tape recording of conversation**

Client is aware that member may tape record the conversation between the client and the member.


**L. Display of policy and other information on website of Member/ Exchange/ SEBI**

Client is aware that the policies/ procedures of the member and other information are regularly hosted on the website of the member and he shall ensure to keep himself updated with the same. Client also agrees to keep himself updated with the circulars hosted on the SEBI/ exchange website.

Client is also aware that Investor grievance email ID, Policy & Procedures, Copy of Standard KYC, Risk Management Policy, Literature of AML requirement, Links to website of SEBI and stock Exchanges of which Stock Broker is a member, other Information that a trading member is required to furnish to his clients is hosted on member's website as well as available on demand from member's office.

**FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL / NON INDIVIDUAL**

| Client Name  |   |  |   |  |   |  |
|--|---|--|---|--|---|--|
|  | First/Sole Holder   |  | Second Holder (if any)  |  | Third Holder (if any)   |  |
| Are you U.S. 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      |  |
| Specify country of residence for tax purpose (Tax Residency) | <input type="checkbox"/> India <input type="checkbox"/> Other |  | <input type="checkbox"/> India <input type="checkbox"/> Other |  | <input type="checkbox"/> India <input type="checkbox"/> Other |  |
| Specify country of citizenship                               | <input type="checkbox"/> India <input type="checkbox"/> Other |  | <input type="checkbox"/> India <input type="checkbox"/> Other |  | <input type="checkbox"/> India <input type="checkbox"/> Other |  |

| First/Sole Holder Signature   | Second Joint Holder Signature | Third Joint Holder Signature |
|---|-------------------------------|------------------------------|
|  (16/23) |                               |                              |



**SMS AND E-MAIL ALERTS TO INVESTORS BY STOCK EXCHANGES**  
(Ref: SEBI circular No. CIR/MIRSD/15/2011 dated August 02, 2011)

**VOLUNTARY**

I request you to enroll me for the following facility offered by the Stock Exchanges pursuant to above referred SEBI circular

SMS Facility on Mobile No provided in my KYC

1. Email ID Belongs to ☐ Self ☐ Family Member
2. In case of family member please specify the relationship:  
☐ Dependent Child ☐ Dependent Parent ☐ Spouse
3. PAN No. of the family Member whose Email ID is provided above:

Email Facility on email Id provided in my KYC

1. Mobile No Belongs to ☐ Self ☐ Family Member
2. In case of family member please specify the relationship:  
☐ Dependent Child ☐ Dependent Parent ☐ Spouse
3. PAN No. of the family Member whose Mobile No is provided above:

**Note:**

1. Individual Client is invariably required to provide his own Mobile No. except in case of family members where the following relationship exist Dependent Child OR Dependent Parent OR Spouse
2. Non Individual client shall provide the Mobile/ Email details of the person authorized to receive such communication and as provided in the KYC.
3. Client may please note that Mobile No. & Email ID of Trading Member (TM)/ employees of TM/ Sub broker/authorised person are not permitted for receiving the SMS/ Email communication from exchanges
4. Client may note that the circular is available for download on the exchange's website.

**VERBAL ORDER ACCEPTANCE AUTHORISATION**

**VOLUNTARY**

TO,  
**PROFITMART SECURITIES PRIVATE LIMITED.**  
(Formerly known as M3 Multiple Securities Brokers Pvt. Ltd.)  
328, Champaklal Industrial Estate, Near MTNL Office,  
Sion Circle, Sion (E), Mumbai-400022.

I/We have been/shall have be dealing through you as my/our broker on the Capital Market and /or Future & Options Segments/Currency Derivative Segments. This instruction is applicable for all the segments of NSE in which I/We have opted to open the account with you. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/dealings on my/our behalf as per instructions given below.

As I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my/my authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and executed the same. I/We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) under the plea that same were not under mine/our instructions. I/We agree that I/We will not have the right to shift the burden of proof by asking you to prove the placement of orders through telephone recording or otherwise.

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

Thanking you,  
Yours truly.

Signature of Client:  (17/23)

## AUTHORITY LETTER FOR RUNNING ACCOUNT OF FUNDS AND SECURITIES

To,  
**PROFITMART SECURITIES PRIVATE LIMITED.**  
 (Formerly known as M3 Multiple Securities Brokers Pvt. Ltd.)  
 Off. No 328, Champak Lal Industrial Estate, Near MTNL Office,  
 Sion Circle, Sion, Mumbai - 400022

Dear Sir,

1. With reference to my/our trading account opened with you, I/We request you to maintain a running account for funds and securities on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain all amounts and securities receivable by me/us until specifically requested by me/us to be settled within one working day of request, if the same is lying with PROFITMART SECURITIES PRIVATE LIMITED & within 3 working days from the request if the same is lying with clearing member / clearing corporation.
2. I/We understand and agree that no interest will be payable to me/us on the funds or securities so retained with you.
3. Excess margins deposited towards one exchange / segment may be adjusted, on a running basis towards margin requirement / debit balance in same / other segment under PROFITMART SECURITIES PRIVATE LIMITED.
4. I/We also confirm that the securities lying in my withhold A/c should be considered as margin deposit/collateral.
5. I/We authorize you to set off a part or whole of the margin deposited by me/us against any of my/our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
6. I/We hereby authorize you to pledge my/our securities deposited as margin or withheld by you as permitted in the running account and to deposit my/our funds deposited as margin to Exchanges / Clearing Corporations towards margin.
7. I/We authorize PROFITMART SECURITIES PRIVATE LIMITED to hold shares purchased me/us in their beneficiary / pool account as collateral / margin against my/our future trades / obligations in same / other exchange / segment. Under PROFITMART SECURITIES PRIVATE LIMITED.
8. I/We may revoke the authorization at any time by giving a written notice.
9. I/We also agree that the actual settlement of fund and securities shall be done by us, at least once in a calendar quarter or month and the statement of account for the same will be provided to me by PROFITMART SECURITIES PRIVATE LIMITED.
10. I/We agree that (a) in respect of derivatives market transactions, apart from margin liability as on the date of settlement, trading member may retain additional margins (maximum up to 125% of margin requirement on the day of settlement) to take care of any margin obligation arising in next 5 days, (b) in respect of cash market transactions, Trading Member may retain entire pay-in obligation of funds & securities due from clients as on the date of settlement.
11. I/We agree/understand that there shall be no inter-client adjustment for the purpose of settlement of the running account.
12. I/We shall bring any dispute arising from the statement of account or settlement so made to the notice of the Trading Member preferably within 7 working days from the date of receipt of funds/securities or statement as the case may be.
13. Account with credit balances of Rs. 10000/- or lesser shall be retained as per SEBI circular MIRSD/SE/Cir-19/2009 & Exchange Circular Nos. NSE/INSP/24849 & 20091204-7
14. Position will be Auto square off as per RMS Rules

Thanking you,  
 Yours truly.

## PREFERENCE OF CLIENT FOR SETTLEMENT OF RUNNING ACCOUNT (FUNDS &amp; SECURITIES)

Settlement Preferences

☐

Monthly

☐

Quarterly

Signature of Client:  (18/23)

To,

PROFITMART SECURITIES PVT. LTD.

Dear Sir,

I, \_\_\_\_\_ a client with Member M/s. PROFITMART SECURITIES PVT. LTD. of Multi Commodity Exchange of India Ltd. (MCX), NSE, BSE undertake as follows:

- I/We aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I/We want the same in the electronic form.
- I/We aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
- I/We have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is \* \_\_\_\_\_. This has been created by me and not by someone else.
- I/We aware that this declaration form should be in English or in any other Indian language known to me.
- I/We aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail Id.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I/We aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same  
(The email id must be written in own handwriting of the client.)

Signature of Client: \_\_\_\_\_ (19/23)

#### AUTHORITY LETTER FOR RUNNING ACCOUNT - COMMODITY

That to maintain a running account, instead of settlement to settlement clearance of funds /commodities due to me/us. In this regards, I/We have been informed about the relevant circulars of Exchange/SEBI and I/We have read and understood the same. I/we hereby authorize Profitmart to maintain a running account in all segment across the exchange (MCX)

I/we hereby confirm you to settle my/our account of Funds and commodities once in

☐ A Calendar Quarter ☐ A calendar Month (STRIKE OFF WHICHEVER IS NOT APPLICABLE)

Such settlement will be done on any day at its discretion in a calendar month or quarter (hereinafter referred as "settlement period") as the case may be if my/our account turn into on any day during the settlement period, the same may be treated as settlement of fund for that settlement period M3 Multiple will not be required to settle the credit if any arising subsequently during the settlement period. I/we agree that I/we shall be liable to pay the debit standing to my account on the settlement date or any other date.

I/we authorize you to withhold any credit balance as collateral /margin against my/our future trades/obligation and or adjust outstanding fund/commodities receivable from you against my/our purchase in subsequent settlement with no interest accruing on the above fund /securities.

I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my/our dues, by appropriating relevant amount of fund or by the same of commodities or by liquidating the open position which form part of margin.

I/we agree that in respect of derivatives market transaction, the member may retain the requisite collaterals/ securities/funds on settlement date to take care of any margin obligation arising in next 5 days, calculated in the manner specified by the exchange.

That to keep my/our commodities purchased from you, in your margin account and to deliver and/or adjust said commodities against our sales in subsequent settlement i.e. inter transferring the commodities from one settlement (Purchase) to another settlement (Sales) segment of exchanges unless you receive any verbal or written instruction from me/us to deliver the same to my/our depository account. Similarly , I/we authorize you to issue the cheque against our fund pay out after getting the telephonic or written instruction from me/us, otherwise the same will remain with you against my/our margin obligation towards commodities segments.

I/we confirm you that I/we will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds / commodities or statement of account related to it, as the case may be at your registered office. After that I/we shall no right to dispute the transaction, funds and or commodities ever and agree that you shall not be liable for any incidental loss/ Damage caused due to retention of funds and / or commodities.

Account with credit balance of Rs. 50000/- or lesser shall be retained as per SEBI circular & Exchange circular.

Position will be auto square off as per RMS Rules.

I/we further declare that this authorization will remain in force unless revoked earlier by me/us in writing.

Signature of Client: \_\_\_\_\_ (20/23)

**HUF DECLARATION FORMAT****VOLUNTARY**

Date :

To,

**PROFITMART SECURITIES PVT. LTD.**

(Formerly known as M3 Multiple Securities Brokers Pvt. Ltd.)

328, 3rd Floor, Champak Lal Industrial Estate,

Near MTNL Office, Sion Circle, Sion, Mumbai

Dear Sir,

I hereby request you to open our trading account/Demat Account with you, for our HUF.

Being Karta of my family, I hereby declare that following is the list of family members in our HUF, as on date of Application,

i.e. \_\_\_\_\_.

| Sr. No. | Name of Family Members | Relations | Date of Birth | Co-Parceners Sign. |
|---------|------------------------|-----------|---------------|--------------------|
|         |                        |           |               |                    |
|         |                        |           |               |                    |
|         |                        |           |               |                    |
|         |                        |           |               |                    |

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for making this Application to open Account.

I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further, I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking you,

Yours truly,

C

Signature of Karta (Please Affix the stamp of HUF)

**DECLARATION TO BE GIVEN BY PARTNERSHIP ON LETTER HEAD OF THE FIRM**

Date:

To, ....

**FORMAT****PROFITMART SECURITIES PVT. LTD.**

(Formerly known as M3 Multiple Securities Brokers Pvt. Ltd.)

328, 3rd Floor, Champak Lal Industrial Estate,

Near MTNL Office, Sion Circle, Sion, Mumbai

Dear Sir,

We refer to the trading account being opened/opened with you in the name \_\_\_\_\_ and declare and authorize you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account No. \_\_\_\_\_ with depository \_\_\_\_\_ opened as a joint account in the names of the partner of the firm.

We agree that the obligations for shares purchased and /or sold by the firm will be handled and completed through transfer to/from the above-mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

We hereby authorize \_\_\_\_\_, partner in the firm to execute/sign and submit such documents, agreements, deeds etc. as any be necessary to enter into the agreement and engage in business with **PROFITMART SECURITIES PVT. LTD.** and to place order for buying and selling of securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter for adjustment of balances in family accounts.

| Name of Partners (In Block Letters) | Signatures |
|-------------------------------------|------------|
|                                     |            |
|                                     |            |

## POWER OF ATTORNEY

TO ALL TO WHOM THESE PRESENTS SHALL COME I/WE Mr./M/s. (First holder)\_\_\_\_\_ (Second holder)\_\_\_\_\_ (Third holder)\_\_\_\_\_ an Residing at having my / our registered office at \_\_\_\_\_

Whereas I/we hold a Beneficiary account no. \_\_\_\_\_ (BO-ID) with Central Depository Services (India) Limited (CDSL), with Profitmart Securities Pvt. Ltd. a Depository Participant registered with CDSL) DP-ID 12083600

And Whereas I/we are registered as a client Profitmart Securities Pvt. Ltd trading member of Bombay Stock Exchange Ltd. (BSE), and National Stock Exchange of India Ltd.(NSE), Multi Commodity Exchange (MCX) for dealing in the securities market having its registered office at Off. No 328, Champak Lal Industrial Estate, Near MTNL Office, Sion Circle, Sion, Mumbai - 400022.

Now know we all and these presents witness that I / We the above name do hereby nominates, constitute / and appoint Profitmart Securities Pvt. Ltd. as my/our true and lawful attorney (hereinafter referred to as the Attorney) for me/us and on my/our behalf and in my/our name to do the following:

### WHEREAS:

1. To transfer securities held in my/ our aforementioned beneficial owner account(s) (or any other account informed by me in writing to the stock broker from time to time) to the demat accounts (details of which have been annexed hereto) of the stock broker maintained for the purpose of settlement of trades and margin obligations arising out of trades executed by me /us or any recognized stock exchange through the stock broker. However, the said power by any existing or future exchange that the stock broker has joined/will join as a member or to any demat account linked to the said clearing member id.
2. A) for meeting my / our settlement obligation / margin requirements in connection with the trades executed by me /us the clients on the stock exchange & commodity exchange through the stock broker  
b) for meeting obligation arising out of my subscribing to such other product / facilities / services through the stock broker like Mutual Funds, Public Issues (shares as well as debentures), right, offer of share ion etc.
3. to pledge the securities in favor of the stock broker for the limited purpose of meeting my/our margin requirements in connection with the trades executed by me / us on any recognized stock exchange through the stock broker.
4. to send consolidated summary of my/our scrip-wise buy and sell position taken with average rate to me/us by way of SMS/email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.
5. to apply for various product like Mutual Funds, public issue (share as well as debentures), rights, offer of share, tendering shares in open offer etc. pursuant to oral /written/electronic instruction given by me/us to the stock broker.
6. The stock broker will return any securities or fund that may be have been received by it erroneously or those securities or fund that it was not entitled to receive.

Third Joint Holder Signature

Second Joint Holder Signature

First/Sole Holder Signature

(21/23)

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney (POA) shall continue until it is revoked in writing by me and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker.

IN WITNESS THEREOF I/WE, individual / joint account holders hereunto have set and subscribe my/our respective hand(s) hereto at \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_\_

### SCHEDULE – II

| PARTICULARS            | DP ID     | CLIENT ID |
|------------------------|-----------|-----------|
| CDSL BENE A/C          | 12083600  | 00000016  |
| CDSL CLIENT MARGIN A/C | 12083600  | 00000020  |
| CDSL NSE POOL A/C      | 12083600  | 00006284  |
| CDSL BSE Principal A/C | 12083600  | 00039261  |
| NSDL NSE POOL A/C      | IN 300095 | 12091499  |
| NSDL BSE Principal A/C | IN 300095 | 12139078  |
| CDSL BSE POOL A/C      | 12083600  | 00044529  |
| CDSL EARLY PAYIN A/C   | 11000011  | 00020210  |
| CDSL EARLY PAYIN A/C   | 11000011  | 00024048  |

|                  |
|------------------|
| <b>Witness 1</b> |
| NAME:            |
| ADDRESS:         |
| SIGNATURE:       |

|                  |
|------------------|
| <b>Witness 2</b> |
| NAME:            |
| ADDRESS:         |
| SIGNATURE:       |

|                               |   |
|-------------------------------|---|
| Third Joint Holder Signature  |   |
| Second Joint Holder Signature |   |
| First/Sole Holder Signature   |  (22/23) |



## LETTER OF AUTHORITY

VOLUNTARY

TO,  
**PROFITMART SECURITIES PRIVATE LIMITED.**  
(Formerly known as M3 Multiple Securities Brokers Pvt. Ltd.)  
Off. No 328, Champak Lal Industrial Estate, Near MTNL Office,  
Sion Circle, Sion, Mumbai - 400022

Dear Sir/ Madam,

Sub: Letter of Authority - CASH / DERIVATIVES / COMMODITY

1. I/We hereby authorise PROFITMART SECURITIES PRIVATE LIMITED not to provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We hereby request PROFITMART SECURITIES PRIVATE LIMITED to kindly accept my/our mandate holder's verbal orders/instructions in person or over phone and execute the same. I/We shall get the required details from the contract issued by you. I/We understand the risk associated with placement of verbal orders and accept the same. I/We shall not disown orders under the plea that the same was not placed by me.
2. I/We indemnify PROFITMART SECURITIES PRIVATE LIMITED and keep you indemnified against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my/our orders verbally. In case I wish to withdraw this consent I shall inform PROFITMART SECURITIES PRIVATE LIMITED in writing and get the same acknowledged by PROFITMART SECURITIES PRIVATE LIMITED at least one week in advance from the date of withdrawal.
3. I/We hereby authorise PROFITMART SECURITIES PRIVATE LIMITED to deposit securities received from me/us or purchased through PROFITMART SECURITIES PRIVATE LIMITED lying in my/our account to the Stock Exchange(s)/NSCCL or their custodian appointed by them for the purpose of margin/ other obligation and/or to facilitate my/our transaction in the normal course of securities business. Further, PROFITMART SECURITIES PRIVATE LIMITED shall release the securities to me/us on my/our request if the same is releasable to me/us.
4. Trading of all Exchanges is in Electronic Mode, based on VSAT, Leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. We understand that here exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing of buy or sell orders either in part or in full. I/We shall be fully liable and responsible for any such problems/fault.
5. I/We agree not to hold PROFITMART SECURITIES PRIVATE LIMITED liable or responsible for delay or default in performance of your obligations due to contingencies beyond your control such as fire, flood, civil commotion, earthquake, riots, war strikes, failure of systems, failure of internal links, government/regulatory actions or any other contingencies beyond your control member not laibale.
6. I/We hereby confirm that I/We never sublet the trading terminal on any term of connectivity, from my/our place to any other place without your prior approval.
7. I/We am/are agreeable for inter-settlement transfer of securities towards settlements.
8. I/We am/are agreeable for & authorise PROFITMART SECURITIES PRIVATE LIMITED to with hold funds payout towards all applicable margins and debits.
9. All fines/penalties and charges levied upon PROFITMART SECURITIES PRIVATE LIMITED due to my acts/deeds or transactions may be recovered by PROFITMART SECURITIES PRIVATE LIMITED from my account.
10. Any queries related to security delivered by PROFITMART SECURITIES PRIVATE LIMITED, would be brought to the notice of PROFITMART SECURITIES PRIVATE LIMITED within Preferably two days of the receipt of such securities in my/our Demat Account.
11. PROFITMART SECURITIES PRIVATE LIMITED is hereby advised to keep these instructions in force unless specifically informed by me/us in writing.
12. I/We hereby reconfirm and accept all the terms & conditions mentioned hereinabove.

Thanking you,  
Yours truly,

Signature of Client:  (23/23)



## PROFITMART SECURITIES PVT. LTD.

(formerly known as M3 Multiple Securities Brokers Pvt. Ltd)

Membership No. : NSE - 14556  
Membership No. : BSE - 6676  
SEBI Regn. No. : INZ000093633  
Membership No. : CDSL - 12083600  
SEBI Regn. No. : CDSL - IN-DP-295-2016  
Membership No. : MCX - 40885  
SEBI Regn. No. : INZ000044432

|   |  |   |
|---|--|---|
| Corporate office /<br>Register office   | Office No 328, Champak Lal Industrial Estate,<br>Near MTNL Office, Sion Circle, Sion, Mumbai - 400022<br>• Phone: +91-22-49741228 • Fax: +91-22-49741229.<br>• URL: www.profitmart.in • Email: info@profitmart.in<br>• CIN No: U65990MH2011PTC217211 |   |
| DP Compliance officer Name:<br>Phone No: & E-mail Id:   | <b>Gaurav Kothari</b><br>022 - 49741228 • compliance@profitmart.in   |   |
| Compliance officer Name:<br>Phone No: & E-mail Id:  | <b>Nayan Bhandari</b><br>022 - 49741228 • compliance@profitmart.in   |   |
| Director's Name<br>Phone No: & E-mail Id:   | <b>Niranjan Mahanjan</b><br>022 - 49741228 • director@profitmart.in  |   |
| Clearing Member   | NSE / BSE<br>F&O & CDS<br>AXIS BANK LTD.<br>INZ000257435   | MCX<br>Commodity<br>GLOBE<br>INZ000024939 |
| For any grievance/dispute please contact <b>PROFITMART SECURITIES PVT. LTD.</b> at the above address or Email: grievance@profitmart.in and Phone No. : +91 - 22 - 49741228. In case not satisfied with the response, please contact the concerned exchange(s) at on NSE Tel. : +91 - 22 - 2659 8191 • Email ID : ignse@nse.co.in, CDSL Tel. : +91 22 22728642 • Email ID : helpdesk@cdslindia.com, BSE is@bseindia.com Tel. : +91 22 22721234/33, MCX Tel. : +91 22 6731888 • Email ID : grievance@mcxindia.com |  |   |

Also refer our website: [www.profitmart.in](http://www.profitmart.in) for updated details, if any