

CLIENT REGISTRATION FORM



AUM CAPITAL MARKET PRIVATE LIMITED

Regd. Office: 226/1, AJC Bose Road, "TRINITY BUILDING" 3rd Floor, Unit-3G, Kolkata - 700 020
Corporate Office : Unit 6, Trinity Building, 6th Floor, 226/1, AJC Bose Road, Kolkata - 700 020

Phone: +91 33 3506 9948 / 54

Email : helpdesk@aumcap.com **Website:** www.aumcap.com



Client Name : _____

Client Code : _____

DP ID/Client ID : _____

Branch Name : _____

Introducer : _____

AUM CAPITAL MARKET PRIVATE LIMITED

Regd. Office: 226/1, AJC Bose Road, "TRINITY BUILDING" 3rd Floor, Unit-3G, Kolkata - 700 020
Phone: 033-3506 9948 / 54 • Email : helpdesk@aumcap.com • Website : www.aumcap.com

SEBI Registration No. : INZ000185431

Member : **National Stock Exchange of India Ltd. (Membership No. 12764)**

Capital Market Segment (TM & SCM)
Equity Derivatives Segment (TM & SCM)
Currency Derivatives Segment (TM)
Commodity Derivatives Segment (TM)
Securities Lending & Borrowing (TM & SCM)

Bombay Stock Exchange Ltd. (Membership No. 3180)

Capital Market Segment (TM & SCM)
Equity Derivatives Segment (TM & SCM)
Currency Derivatives Segment (TM)
Commodity Derivatives Segment (TM)

Multi Commodity Exchange of India Ltd. (Membership No. 56505)

Commodity Derivatives Segment (TM)

Depository Participant : SEBI Regn No. IN-DP-647-2021
Central Depository Services (I) Ltd. (DP ID - 12057800)
National Securities Depository Ltd. (DP ID - IN304211)

Director's Name : Mr. Aditya Vikram Choudhary
Phone No.: 033-3506 9903 • Email Id : aditya.choudhary@aumcap.com

Compliance Officer's Name : Mr. Chandra Kumar Jain (Trading)
Phone No.: 033-3506 9941 • Email Id : ck.jain@aumcap.com
Mr. Mrinal Kanti Das (DP)
Phone No.: 033-3506 9948 • Email Id : mrinal.das@aumcap.com

Clearing Member : **Globe Capital Market Ltd.** (SEBI Reg. No. - INZ000177137)
Commodity Derivatives Segment
Currency Derivatives Segment

For any grievance / dispute please contact us at the above address or email us at Investor Grievance Email Id helpdesk@aumcap.com or call us at 033-3506 9941

In case not satisfied with the response please contact the concerned exchange(s):

Name of the Exchange	E-mail Id	Phone No.
National Stock Exchange of India Ltd.	ignes@nse.co.in	022-2659 8190 / 91
Bombay Stock Exchange Ltd.	is@bseindia.com	022-2272 8517 / 8097
Multi Commodity Exchange of India Ltd.	grievance@mcxindia.com	022-6649 4040
Central Depository Services India Ltd.	complaints@cdslindia.com	1800-22 5533
National Securities Depository Ltd.	relations@nsdl.co.in	1800-1020 990 / 022-2499 4200
You can also file your complaints online at https://scores.gov.in		

ACCOUNT OPENING KIT INDEX

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES & DEPOSITORIES

Sl. No.	Name of Document	Brief Significance of the Document	Page No.
1	Instructions	Instructions/check list for filling KYC form	1-3
2	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to trading and DP Account alongwith CKYC & FATCA form	4-22
3	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	23-25
4	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	26
5	Declaration pursuant to PMLA	Declaration towards Anti Money Laundering	27
6	Client Commodity-wise Categorization	Documents towards Commodity-wise Categorization	28
7	Rights and Obligations	Document stating the Rights & Obligations of stock broker / trading member, Beneficial Owner & DP Authorised Person and client for trading on exchanges (including additional rights & obligation in case of internet / wireless technology based trading).	CLIENT COPY
8	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market	
9	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	

VOLUNTARY DOCUMENTS

10	Declaration/Mandate	Declaration for common mobile and email ID	29
11	Running Account Authorisation	Maintenance of Running Account	30
12	Undertaking by client	Contains non mandatory policies, procedures and rules to be acknowledged and followed by the client with respect to exposures, margin and other areas of operations during the course of relationship with ACMPL	31
13	Mandate by client for digital communication	Client consent letter for receiving Contract Note, Statement of Accounts, etc. by email	32
14	Declaration for Mobile No.	To receive alerts and other information	33
15	Order Placement Instruction	Client authorization for executing the client order received over phone / verbal orders	33
16	Issuance of DIS Booklet	Option to issue Delivery Instruction slips Booklet	34
17	Do's & Dont's	It contains Do's & Dont's relevant for the operations of Trading & Demat Account.	35
18	Electronic Payout Request	Request to transfer funds to Client's A/c.	36
19	PMLA Statement	Prevention of Money Laundering Statement for Client Education	37
20	Good Till Cancelled	Policy on Handling of Good Till Cancelled orders	38 - 41
21	MITC	Most Important Terms and Condition	42
22	Demat Debit & Pledge Instruction	Demat Debit & pledge instruction and authorisation	43 - 44
23	Form for Joint Account	Form for Mode of operation of Joint Demat Account	45

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS :

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

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

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

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

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

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

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

Types of Entity	Documentary Requirements
Corporate	: Copy of the balance sheets for the last 2 financial years (to be submitted every year). : Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). : Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. : Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. : Copies of the Memorandum and Articles of Association and certificate of incorporation. : Copy of the Board Resolution for investment in securities market. : Authorised signatories list with specimen signatures.
Partnership Firm	: Copy of the balance sheets for the last 2 financial years (to be submitted every year). : Certificate of registration (for registered partnership firms only). : Copy of partnership deed. : Authorised signatories list with specimen signatures. : Photograph, POI, POA, PAN of Partners.
Trust	: Copy of the balance sheets for the last 2 financial years (to be submitted every year). : Certificate of registration (for registered trust only). : Copy of Trust deed. : List of trustees certified by managing trustees/CA. : Photograph, POI, POA, PAN of Trustees.
HUF	: PAN of HUF. : Deed of declaration of HUF/ List of coparceners. : Bank pass-book/bank statement in the name of HUF. : Photograph, POI, POA, PAN of Karta.

Unincorporated	:	Proof of Existence/Constitution document.
Association or a body of individuals	:	Resolution of the managing body & Power of Attorney granted to transact business on its behalf.
	:	Authorized signatories list with specimen signatures.
Banks /Institutional Investors	:	Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.
	:	Authorized signatories list with specimen signature.
Foreign Institutional Investors (FII)	:	Copy of SEBI registration certificate.
	:	Authorized signatories list with specimen signatures.
Army / Government Bodies	:	Self-certification on letterhead.
	:	Authorized signatories list with specimen signatures.
Registered Society	:	Copy of Registration Certificate under Societies Registration Act.
	:	List of Managing Committee members.
	:	Committee resolution for persons authorised to act as authorised signatories with specimen signatures.
	:	True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

INSTRUCTIONS / CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

**In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in-securities on behalf of company/firm/others and their specimen signatures.

PART I - KNOW YOUR CLIENT (KYC)
APPLICATION FORM
(FOR INDIVIDUALS ONLY)

PLEASE FILL THIS FORM IN ENGLISH AND IN **BLOCK** LETTERS.**AUM CAPITAL**

YOUR TRUST IS OUR WEALTH

Regd. Office: 226/1, AJC Bose Road, "TRINITY BUILDING"
3rd Floor, Unit-3G, Kolkata - 700 020

Phone : +91 33 4057 2209 / • 10

E-mail : helpdesk@aumcap.com • Website: www.aumcap.com

A IDENTITY DETAILS

Name of the Applicant				PHOTOGRAPH Please affix your recent passport size photograph and sign across it	
Father's/Spouse's Name					
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married		Date of Birth
					D D M M Y Y Y Y
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other (Please Specify)	Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National		
PAN		Aadhar Number, If Any			
Specify the Proof of Identity Submitted <input type="checkbox"/> PAN Card <input type="checkbox"/> Any Other (Please Specify)					

B ADDRESS DETAILS

Residence Address			
City/Town/Village		Pin Code	
State		Country	
Specify the Proof of Address Submitted for Resi. Address			
Tel. (Off.)		Mobile No.	
Tel. (Res.)		Fax No.	
Email ID			
Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant)			
City/Town/Village		Pin Code	
State		Country	
Specify the Proof of Address Submitted for Permanent Address			

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.	
D D M M Y Y Y Y	
Place :	Signature of Applicant

FOR OFFICE USE ONLY

IPV Details: _____ (DD/MM/YYYY)	Name of the Auth. Signatory
<input type="checkbox"/> Originals Verified & Self Attested Documents <input type="checkbox"/> Copies Received	<input checked="" type="checkbox"/> Signature of the Auth. Signatory Date
Employee Name	Employee Designation
Seal / Stamp of the Intermediary	

AUM CAPITAL MARKET PVT. LTD.

**PART I - KNOW YOUR CLIENT (KYC)
APPLICATION FORM
(FOR NON INDIVIDUALS ONLY)**

PLEASE FILL THIS FORM IN ENGLISH AND IN **BLOCK** LETTERS.



AUM CAPITAL

YOUR TRUST IS OUR WEALTH

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3rd Floor, Unit-3G, Kolkata - 700 020

Phone : +91 33 4057 2209 / • 10

E-mail : helpdesk@aumcap.com • Website: www.aumcap.com

A IDENTITY DETAILS

Name of the Applicant																				
Date of Incorporation		D	D	M	M	Y	Y	Y	Y	Date of Comm.of Business										
Place of Incorporation												D	D	M	M	Y	Y	Y	Y	
PAN										Regn. No. (Eg.CIN)										
Status (Please Tick any one)	<input type="checkbox"/> Private Ltd Co.	<input type="checkbox"/> Bank		<input type="checkbox"/> Body Corporate		<input type="checkbox"/> Charities														
	<input type="checkbox"/> NGO'S	<input type="checkbox"/> LLP		<input type="checkbox"/> Partnership		<input type="checkbox"/> Defense Estb,														
	<input type="checkbox"/> Society	<input type="checkbox"/> AOP		<input type="checkbox"/> Trust		<input type="checkbox"/> FII														
	<input type="checkbox"/> HUF	<input type="checkbox"/> BOI		<input type="checkbox"/> Non-Govt.Org.		<input type="checkbox"/> FI														
	<input type="checkbox"/> Public Ltd. Co.	<input type="checkbox"/> Govt. Body		<input type="checkbox"/> Others		(Please Specify)														

B ADDRESS DETAILS

Correspondence Address																			
City/Town/Village												Pin Code							
State												Country							
Specify the Proof of Address Submitted for Corres. Address																			
Registered Address (If different from above)																			
City/Town/Village												Pin Code							
State												Country							
Specify the Proof of Address Submitted for Registered Address																			
Tel. (Off.)												Mobile No.							
Tel. (Res.)												Fax No.							
Email ID																			

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.																			
										<input type="text"/> Signature with stamp									
Place :										Name & Signature of The Authorised Signatory									

FOR OFFICE USE ONLY

IPV Details: _____(DD/MM/YYYY)										Name of the Auth. Signatory										
<input type="checkbox"/> Originals Verified & Self Attested Documents <input type="checkbox"/> Copies Received	Employee Name										✓ Signature of the Auth. Signatory									
	✓ Employee Signature										Date									
Employee Designation										Seal / Stamp of the Intermediary										

AUM CAPITAL MARKET PVT. LTD.

C OTHER DETAILS

FOR NON INDIVIDUALS ONLY

Details of Promoters/Partners/Karta/Trustees & Whole Time Directors forming part of KYC application Form

1 Name

1st SIGNATORY

Relationship with Applicant <small>(i.e. promoters, whole time directors etc.)</small>		Date of Birth							
		D	D	M	M	Y	Y	Y	Y
Residential/ Registered Address									
City/Town/Village		PIN							
State		Country							
Tel. (O)		Mobile No.							
PAN		Equity % <small>PSR Ownership Stake</small>							
Aadhar Number, If Any									
DIN No. <small>i.e. Whole time Directors</small>									
Proof of Identity (POI)									
Proof of Address (POA)									

P H O T O G R A P H

Please affix your recent passport size photograph and sign across it



Signature

2 Name

2nd SIGNATORY

Relationship with Applicant <small>(i.e. promoters, whole time directors etc.)</small>		Date of Birth							
		D	D	M	M	Y	Y	Y	Y
Residential/ Registered Address									
City/Town/Village		PIN							
State		Country							
Tel. (O)		Mobile No.							
PAN		Equity % <small>PSR Ownership Stake</small>							
Aadhar Number, If Any									
DIN No. <small>i.e. Whole time Directors</small>									
Proof of Identity (POI)									
Proof of Address (POA)									

P H O T O G R A P H

Please affix your recent passport size photograph and sign across it



Signature

3 Name

3rd SIGNATORY

Relationship with Applicant <small>(i.e. promoters, whole time directors etc.)</small>		Date of Birth							
		D	D	M	M	Y	Y	Y	Y
Residential/ Registered Address									
City/Town/Village		PIN							
State		Country							
Tel. (O)		Mobile No.							
PAN		Equity % <small>PSR Ownership Stake</small>							
Aadhar Number, If Any									
DIN No. <small>i.e. Whole time Directors</small>									
Proof of Identity (POI)									
Proof of Address (POA)									

P H O T O G R A P H

Please affix your recent passport size photograph and sign across it



Signature

Name of the Auth. Signatory

✓ Signature of the Auth. Signatory

Date

Note: In case of more than three authorised signatories, please submit all the required details in a separate sheet.

PART II - TRADING & DEMAT ACCOUNT RELATED DETAILS (FOR INDIVIDUALS & NON INDIVIDUALS)**A BANK ACCOUNT DETAILS**








	1 st Account/Primary	2 nd Account	3 rd Account
Bank Name			
Branch Name & Address			
Bank Account No.			
Account Type <small>(Saving/Current/Others In case of NRI/NRE/NRO)</small>			
MICR No.			
IFSC Code			

B DEPOSITORY ACCOUNT DETAILS

DP Name			
CDSL/NSDL			
DP ID			
Beneficiary ID (BO ID)			
Beneficiary Name 1			
Beneficiary Name 2			
Beneficiary Name 3			

C TRADING PREFERENCES

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

Exchange	Segments	Signature of the Client
ALL EXCHANGES	All Segments	
NSE & BSE	CAPITAL MARKET (CASH)	
	F&O	
	Currency Derivatives	
	DEBT	
	SLBM	
MCX, BSE & NSE	Commodity Derivatives	

If you do not wish to trade in any of segments, please mention here.....

Client Sign.....

▶ PAST ACTIONS			
Details of any action/proceeding 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: _____ _____			
Are You Member of Any Stock Exchange?	Y	N	Please Specify
▶ DEALINGS THROUGH AUTHORIZED PERSON OF OTHER STOCK BROKERS			
<i>If client is dealing through the AP, provide the following details:</i>			
AP Name			Exchange Regn. No.
Registered Office Address			
Phone		Fax	
Website			
WHETHER DEALING WITH ANY OTHER STOCK BROKER <i>(If case dealing with multiple stock brokers, provide details of all)</i>			
Name of Stock Broker		Client Code	
Name of AP, If Any		Exchange	
Details of Disputes/Dues Pending from/to such Stock Broker/AP :			
▶ ADDITIONAL DETAILS			
GST Registration Details			
Whether You Wish to Receive Physical Contract Note or Electronic Contract Note (ECN) <i>(Please Specify)</i> :			
Specify Your Email ID, If Applicable			
Whether You Wish to Avail of the Facility of Internet Trading/Wireless Technology <i>(Please Specify)</i>			<input type="checkbox"/> Yes <input type="checkbox"/> No
Number of Years of Investment/Trading Experience			
Any Other Information			
▶ INTRODUCER DETAILS (OPTIONAL)			
Name of the Introducer	Surname	Name	Middle Name
Status of the Introducer	<input type="checkbox"/> Authorized Person <input type="checkbox"/> Remisier <input type="checkbox"/> Employee <input type="checkbox"/> Existing Client <input type="checkbox"/> Other <u><i>(Please Specify)</i></u>		
Address of the Introducer			
Mobile/Phone No. of the Introducer		Signature of the Introducer	

CDSL DP ID : 12057800

NSDL DP ID : IN304211

UCC

DEMAT ACCOUNT OPENING FORM		Client ID:																							
I/WE REQUEST YOU TO OPEN A DEPOSITORY ACCOUNT IN MY/OUR NAME AS PER THE FOLLOWING DETAILS: (PLEASE FILL ALL THE DETAILS IN CAPITAL LETTERS ONLY)																									
Date:																		D	D	M	M	Y	Y	Y	Y

TYPE OF ACCOUNT																																							
STATUS										SUB-STATUS																													
<input type="checkbox"/> Individual					<input type="checkbox"/> Individual Resident					<input type="checkbox"/> Individual Director					<input type="checkbox"/> Individual Promoter																								
<input type="checkbox"/> NRI					<input type="checkbox"/> NRI-Repatriable					<input type="checkbox"/> NRI-Non Repatriable					<input type="checkbox"/> Other <i>Please Specify</i>																								
<input type="checkbox"/> Foreign National					<input type="checkbox"/> Foreign National					<input type="checkbox"/> Qualified Foreign Investor																													
<input type="checkbox"/> Non-Individual					<input type="checkbox"/> Body Corporate					<input type="checkbox"/> Trust					<input type="checkbox"/> Bank					<input type="checkbox"/> FI					<input type="checkbox"/> FII					<input type="checkbox"/> Mutual Fund					<input type="checkbox"/> CM				
										<input type="checkbox"/> Qualified Foreign Investor					<input type="checkbox"/> Margin					<input type="checkbox"/> HUF					<input type="checkbox"/> Other <i>Please Specify</i>														

DETAILS OF ACCOUNT HOLDER(S)																			
Name of Sole/First Holder																			
										PAN									
Name of Second Holder																			
										PAN									
Name of Third Holder																			
										PAN									

* Please provide a separate KYC Application Form (KRA Form) for all joint Holders

For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc. should be mentioned below:																			
Name																			
										PAN									

IN CASE OF NRIs/FOREIGN NATIONALS/FIIs/Others (as may be applicable)																			
RBI Approval Ref. No.																			
SEBI Regn. No. (for FIIs)																			
RBI Approval Date																			

STANDING INSTRUCTIONS																													
1 I/We authorise you to receive credits automatically into my / our Demat account															<input type="checkbox"/> Yes					<input type="checkbox"/> No									
2 Account to be operated through Demat Debit and Pledge Instruction (DDP) only															<input type="checkbox"/> Yes					<input type="checkbox"/> No									
3 SMS Alert Facility (Mandatory if you are giving DDPI). (Ensure that the mobile number is provided in the KYC Application Form also.)																													
Sole / First Holder <input type="checkbox"/> Yes <input type="checkbox"/> No										Second Holder <input type="checkbox"/> Yes <input type="checkbox"/> No										Third Holder <input type="checkbox"/> Yes <input type="checkbox"/> No									
0										0										0									
4 Mobile No. Belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family/Member										Mobile No. Belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family/Member										Mobile No. Belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family/Member									
5 Email ID Belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family/Member										Email ID Belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family/Member										Email ID Belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family/Member									
6 Account Statement Requirement <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly <input type="checkbox"/> As per SEBI Regulations																													
7 I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____ <input type="checkbox"/> Yes <input type="checkbox"/> No																													
8 Do you wish to receive dividend /interest directly in to your bank account given below through FCS? (If not marked, the default be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time] <input type="checkbox"/> Yes <input type="checkbox"/> No																													
9 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 <input type="checkbox"/> Yes <input type="checkbox"/> No																													
10 Basic Service Demat A/c <input type="checkbox"/> Yes <input type="checkbox"/> No										11 I/We would like to share the email ID with the RTA <input type="checkbox"/> Yes <input type="checkbox"/> No																			
12 I/We would like to receive the Annual Report (Tick the applicable box. If not marked the default would be Physical) <input type="checkbox"/> Physically <input type="checkbox"/> Electronic <input type="checkbox"/> Both																													

GUARDIAN DETAILS (Where sole holder is a minor)																			
[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]																			
Guardian Name																			
PAN No.																			
Relationship of Guardian with Minor																			

► **MODE OF OPERATION FOR SOLE/FIRST HOLDER [For Non-Individuals]** (In case of Joint holdings, all the holders must sign)

- | | |
|---|---|
| <input type="checkbox"/> Singly
<input type="checkbox"/> As per Resolution | <input type="checkbox"/> Jointly
<input type="checkbox"/> Other (Please Specify) |
|---|---|


► **CLEARING MEMBERS DETAILS (to be filled up by Clearing Members only)**

Name of Stock Exchange	
Name of Clearing Corporation/Clearing House	
Clearing Member ID	
SEBI Registration Number	
Trading Member ID	

► **DECLARATION**

FOR DEMAT ACCOUNT

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case of non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/We acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant" *Non-Individuals-Authorised Signatories (Enclose a Board resolution for Authorised Signatories).*

Sole/First Holder/or Guardian (In case of minor) or First Signatory	Name	Signature 
Second Holder or Second Signatory	Name	Signature 
Third Holder or Third Signatory	Name	Signature 

► **NOTES**

1. All communication shall be sent at the address of the Sole/First holder only.
2. For Non-Individual-In case of additional signatures, separate annexures should be attached to the application form.
3. Thumb impressions and 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.
4. Instructions related to nomination, are as below :
 - I. 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, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.
 - II. 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.
 - III. The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
 - IV. 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.
 - V. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the participant against the legal heir.
 - VI. 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, karta of 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.
 - VII. 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.
5. 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, Participant may also terminate this facility by giving 10 days prior notice.
6. Strike off whichever is not applicable



AUM CAPITAL MARKET PRIVATE LIMITED

Regd. Office: 226/1, AJC Bose Road, "TRINITY BUILDING" 3rd Floor, Unit-3G, Kolkata - 700 020
Phone : +91 33 4057 2209 / • 10 • E-mail : helpdesk@aumcap.com • Website: www.aumcap.com

Date	D	D	M	M	Y	Y	Y	Y	DP ID								Client ID									
										UCC																

I/We wish to make a nomination. [As per details given below]

Nomination Details







I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

Nomination can be made upto three nominees in the account.			Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1	Name of the nominee(s) (Mr./Ms.)				
2	Share of each Nominee	Equally <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"/> Proof of Identity <input type="checkbox"/> Demat Account ID <input type="checkbox"/> Aadhaar Saving Bank account no.		 Affix recent passport size Photograph Signature / Thumb Impression	 Affix recent passport size Photograph Signature / Thumb Impression	 Affix recent passport size Photograph Signature / Thumb Impression

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:

8	Date of Birth {in case of minor nominee(s)}			
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10	Address of Guardian(s)			

NOMINATION Details

	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"/> Proof of Identity <input type="checkbox"/> Demat Account ID <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no.	 Affix recent passport size Photograph  Signature / Thumb Impression	 Affix recent passport size Photograph  Signature / Thumb Impression	 Affix recent passport size Photograph  Signature / Thumb Impression
	Name(s) of holder(s)	Signature	Witness	
Sole / First Holder (Mr./Ms.)			Signature: _____	
Second Holder (Mr./Ms.)			Name: _____	
Third Holder (Mr./Ms.)			Address: _____ _____	

* Signature of witness, along with name & address are required, if the account holder affixes thumb impression, instead of signature.
 # Optional fields (Information required at Serial Nos. 5, 6, 7, 11, 12 & 14 is not mandatory)

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.
 The Trading Member / Depository Participant shall provide acknowledgment of the nomination form to the account holder(s)



Details of TM / DP : To	Date	D	D	M	M	Y	Y	Y	Y
AUM CAPITAL MARKET PRIVATE LIMITED Regd. Office: 226/1, AJC Bose Road, "TRINITY BUILDING" 3rd Floor, Unit-3G, Kolkata - 700 020 Phone : +91 33 4057 2209 / • 10 • E-mail : helpdesk@aumcap.com • Website: www.aumcap.com									
UCC									
DP ID									
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. _____									
Name: _____									

Witness
Signature: _____
Name: _____
Address: _____

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

▶ OTHER DETAILS		FOR INDIVIDUAL ONLY	
Gross Annual Income Details: <small>Income Range per Annum (Please Tick Any One)</small>		<input type="checkbox"/> Below ₹ 1 Lacs <input type="checkbox"/> ₹ 1-5 Lacs <input type="checkbox"/> ₹ 5-10 Lacs <input type="checkbox"/> ₹ 10-25 Lacs <input type="checkbox"/> More than ₹ 25 Lacs <input type="checkbox"/> Above ₹ 1 Crore	
Occupation <small>(Please tick any one)</small>	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> House wife <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others <i>Please Specify</i>		
Please Tick, If Applicable :	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)		
Any Other Information			
▶ OTHER DETAILS		FOR NON INDIVIDUAL ONLY	
Income Details Please Specify: <small>Income Range Per Annum</small>		<input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> ₹ 1-10 Lacs <input type="checkbox"/> ₹ 10-20 Lacs <input type="checkbox"/> ₹ 20-50 Lacs <input type="checkbox"/> ₹ 50Lacs-1 Crore <input type="checkbox"/> Above ₹ 1 Crore	
Networth Amount (₹) _____ As on date _____ (Networth should not be older than 1 year)			
Please Tick, if Applicable, for Any of Your Authorized Signatories/Promoters/Partners/Karta/ Trustees/Whole Time Directors:		<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)	
Any Other Information			
▶ DECLARATION		FOR TRADING ACCOUNT	
<ol style="list-style-type: none"> I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we am/are aware that i/we may be held liable for it. I/We confirm having read/been explained and understood the contents of the documents on policy and procedures of the stock broker and the tariff sheet. I/We further confirm having read and understood the contents of the 'Rights and Obligations' documents(s) and 'Risk Disclosure Documents'. 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. 			
Signature of the Client/(All) Authorized Signatory(ies)		Place _____ <div style="border: 1px solid black; display: inline-block; padding: 2px;"> D D M M Y Y Y Y </div>	

BOTH FOR TRADING & DEMAT ACCOUNT

AUM CAPITAL MARKET PVT. LTD.

[illegible][illegible]

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting. I am aware that I may be held liable for it.
- I hereby declare that I am not making this application for the purpose contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date:

D	D
---	---

 -

M	M
---	---

 -

Y	Y	Y	Y
---	---	---	---

[illegible]

Signature/Thumb Impression of Applicant

[illegible]Date:

D	D
---	---

 -

M	M
---	---

 -

Y	Y	Y	Y
---	---	---	---

[illegible][illegible][illegible][illegible]

[Employee Signature]

Name _____

[illegible]

[Institution Stamp]

Dear Sir/Madam

I, _____ S/o. / D/o. / W/o.

_____, give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC Record includes my KYC Records / Personal information such as my name, address, date of birth, PAN number etc.

Signature :

Date :

A Clarification (Guidelines on filling 'Personal Details' section)

- 1 Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory: Mother's name, Spouse's name, Father's name.

B Clarification I Guidelines on filling 'Current Address details' section

- 1 In case of deemed PoA such as utility bill, etc. or self declaration. the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 Slate I U. T Code and Pin I Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address':

Document Code Description

- 01 Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
- 02 Property or Municipal tax receipt.
- 03 Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
- 04 Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.
- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar. while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules. 2005.
- 10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository

C Clarification I Guidelines on filling 'Contact details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

D Clarification I Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person, if available.

E Clarification on Minor

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 However, in case guardian details are available for niinor above 10 years of age. the same (or CKYCR number of guardian) is to be uploaded.

**Important Instructions:**

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

For office use only

Application Type*

☐ New ☐ Update

(To be filled by financial institution)

KYC Number

(Mandatory for KYC update request)

☐ **1. ENTITY DETAILS*** (Please refer instruction A at the end)

☐ Name*

Entry Constitution Type*

☐ Others (Specify)

(Please refer instruction B at the end)

Date of Incorporation / Formation*

Date of Commencement of Business

Place of Incorporation / Formation*

Country of Incorporation / Formation*

TIN or Equivalent Issuing Country

PAN *

☐

Form 60 furnished

TIN / GST Registration Number

☐ **2. PROOF OF IDENTITY (Pol)***
☐ Officially valid document(s) in respect of person authorised to transact

☐ Certificate of Incorporation / Formation

☐ Registration Certificate

Regn Certificate No.

☐ Memorandum and Articles of Association

☐ Partnership Deed

☐ Trust Deed

☐ Resolution of Board / Managing Committee

☐ Power of attorney granted to its manager, officers or employees to transact on its behalf

☐ Activity Proof - 1 (For Sole Proprietorship Only)

☐ Activity Proof - 2 (For Sole Proprietorship Only)

☐ **3. ADDRESS*** (Please refer instruction C at the end)

3.1 Registered Office Address / Place of Business*

Proof of Address*

☐ Certificate of Incorporation / Formation

☐ Registration Certificate

☐ Other Document

Line 1*

Line 2*

Line 3*

District*

PIN / Post Code*

State / U.T. Code*

ISO 3166 Country Code*

3.2 Local Address in India (If different from Above)*

Line 1*

Line 2*

Line 3*

District*

PIN / Post Code*

State / U.T. Code*

ISO 3166 Country Code*

☐ **4. CONTACT DETAILS** (All communications will be sent to Mobile number/Email-ID provided*may be used) (Please refer Instruction D at the end)*

Tel. (Off)

FAX

Mobile

Email ID

Mobile

Email ID

☐ **5. NUMBER OF RELATED PERSONS**

(Please refer Instruction E at the end)

☐ **6. REMARKS** (If any)

7. APPLICANT DECLARATION (Please refer instruction G at the end)

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting. I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date :

Place:

Signature /Thumb Impression

Signature /Thumb of Authorised Persons(s)

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

☐ Certified Copies☐ Equivalent e-document☐ Date received from Offline verification☐ Digital KYC Process**KYC VERIFICATION CARRIED OUT BY**

Identity Verification ☐ Done Date - -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

CENTRAL REGISTRY I Instructions / Check list / Guidelines for filling Legal / Other than Individuals KYC Application Form KNOW YOUR CUSTOMER (KYC) Application form**A Clarification' Guidelines for filing Entity Details section****1 Entity Constitution Type**

A - Sole Proprietorship	H - Trust	O - Artificial Jurisdical Person
B - Partnership Firm	I - Liquidator	P - International Organisation or Agency 'Foreign Embassy or Consular Office etc.
C - HUF	J - Limited Liability Partnership	Q - Not Categorized
D - Private Limited Company	K - Artificial Liability Partnership	R - Others
E - Public Limited Company	L - Public Sector Banks	S - Foreign Portfolio Investors
F - Society	M - Central/State Government Department or Agency	N - Section 8 Companies (Companies Act, 2013)
G - Association of Persons (AOP) / Body of Individuals (601)		

2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available.

B Clarification' Guidelines for filling 'Proof of Identity[Pol]' section

- Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
- Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
- 'Equivalent e-document' means an electronic equivalent of a document, Issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital locker Facilities) Rules, 2016.
- 'Digital KYC process' has to be carried out as stipulated in the PMI Rules, 2005.
- KYC requirements for .Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C Clarification' Guidelines for filling 'Proof of Address [PoA], section

- State' U.T Code and Pin' Post Code will not be mandatory for Overseas addresses.
- Certified copy of document or equivalent e-document to be submitted.

D Clarification' Guidelines for filling 'Contact Details' section

- Please mention two, digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- Do not add '0' in the beginning of Mobile number.

E Clarification' Guidelines for filling 'Related Person Details' section

- Personal Details
 - The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- Proof of Address [PoA]
 - PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
 - State I U.T Code and Pin! Post Code will not be mandatory for Overseas addresses.
 - In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
 - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.
- If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
- Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

F Provision for capturing signature of multiple authorised persons is to be made by the RE.

CENTRAL KYC REGISTRY | KNOW YOUR CUSTOMER (KYC) Application form | Related Person

**Important Instructions:**

- A) Fields marked with '*' are mandatory fields.
 B) Tick '✓' wherever applicable.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please fill the form in English and in BLOCK letters.
 E) KYC number of applicant is mandatory for update application.

- F) List of State / U. T. code as per Indian Motor Vehicle Act, 1988 is available at the end
 G) List of two character ISO 3166 country codes is available at the end.
 H) Please read section wise detailed guidelines / instructions at the end.
 I) For particular section update please, tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only

Application Type*

☐ New ☐ Update ☐ Delete

(To be filled by financial institution)

KYC Number

(Mandatory for KYC update and delete request)

☐ 1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)☐ Addition of Related Person☐ Deletion of Related Person☐ Update Related Person DetailsKYC Number of Related Person (if available*) If KYC number is available only 'Related Person Type' & 'Name' is mandatory**Related Person Type***

- ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor
☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director Identification Number)

(Mandatory if Related Person Type is Director)

1.1. PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M-Male	<input type="checkbox"/> F-Female	<input type="checkbox"/> T-Transgender	
Nationality*	<input type="checkbox"/> IN-Indian	<input type="checkbox"/> Other (ISO 3166 Country Code)	<input type="text"/>	
PAN*	<input type="text"/>		<input type="checkbox"/> Form 60 furnished	

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

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

- ☐ A-Passport Number
☐ B-Voter ID Card
☐ C-Driving Licence
☐ D-NREGA Job Card
☐ E-National Population Register Letter
☐ F-Proof of Possession of Aadhaar

II ☐ E-KYC Authentication
III ☐ Offline verification of Aadhaar
☐ PHOTO ***Address**

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
Pin/Post Code*	<input type="text"/>
State/U.T. Code*	<input type="text"/>
City / Town / Village*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

☐ 1.3 CURRENT ADDRESS DETAILS (Please refer instruction E at the end)☐ Same as above mentioned address (in such cases address details as below need not be provided)

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

- ☐ A-Passport Number
☐ B-Voter ID Card
☐ C-Driving Licence
☐ D-NREGA Job Card
☐ E-National population Register Letter
☐ F-Proof of Possession of Aadhaar

II ☐ E-KYC Authentication
III ☐ Offline verification of Aadhar
IV ☐ Deemed PoA
V ☐ Self Declaration

Line 2																										
Line 3																										
District*									Pin/Post Code*					State/U.T. Code*			City / Town / Village*							ISO 3166 Country Code*		

1.4 CONTACT DETAILS (All communication will be sent on provided mobile no./Email-ID) (Please refer instruction D at the end)

Tel. (Off.)					—					Tel. (Res)					—					Mobile			—				
Email ID																											

2. APPLICATION DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date :

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

 Place:

--	--	--	--	--	--	--	--	--	--

Signature /Thumb Impression

Signature /Thumb of Authorised Persons(s)

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

<input type="checkbox"/> Certified Copies	<input type="checkbox"/> E-KYC date received from UIDAI	<input type="checkbox"/> Data received from Offline Verification
<input type="checkbox"/> Digital KYC Process	<input type="checkbox"/> Equivalent e-document	

KYC VERIFICATION CARRIED OUT BY

Identity Verification	<input type="checkbox"/> Done	Date			—			—		
Emp. Name										
Emp. Code										
Emp. Designation										
Emp. Branch										

[Employee Signature]

INSTITUTION DETAILS

Name																								
Code																								

[Institution Stamp]

FATCA / CRS DECLARATION**FOR INDIVIDUALS**

The below information is required for all applicant(s)/ guardian

I) Address Type : ☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office (for address mentioned in form)

II) Is the applicant(s)/ guardian's Country of Birth / Citizenship / Nationality / Tax Residency other than India? ☐ Yes ☐ No

III) If you ticked "Yes" in point no II above, please provide the following information [mandatory]

Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below.

Place/ City of Birth		
Country of Birth		
i)	<input type="checkbox"/> TIN or	
	<input type="checkbox"/> Functional equivalent (please specify name & Number)	
	Country of Issue	
ii)	<input type="checkbox"/> Functional equivalent (please specify name & Number)	
	Country of Issue	
iii)	<input type="checkbox"/> TIN or	
	<input type="checkbox"/> Functional equivalent (please specify name & Number)	
	Country of Issue	

IV) Customer Declaration (Applicable for all customers)

i. Under penalty of perjury, I certify that:


- The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate 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 is identified as a US person) or
- The applicant is 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)

ii. I understand that ACMPL is relying on this information for the purpose of determining my status in compliance with FATCA/CRS. ACMPL is not able to offer any tax advice on FATCA/CRS or its impact. I shall seek advice from professional tax advisor for any tax questions.

iii. I agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

iv. I agree that as may be required by domestic regulators/tax authorities ACMPL may also be required to inform reportable details to CBDT or close or suspend my account.

v. I certify that I provide the information on this form and to the best of my knowledge and belief the certification is true, correct, and complete including the taxpayer identification number / functional equivalent number of the applicant.

Name	Signature	Date
		

Notes:**1. The term United States person means:**

- An individual, being a citizen or resident of the United States of America;
- Partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof;
- A trust if: (i) a court within the United States of America would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust; and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust;
- An estate of a decedent who was a citizen or resident of the United States of America.

2. Functional Equivalent of TIN includes the following:

A social security/insurance number, citizen/personal identification/services code/national identification number, a resident / population registration number, Alien card number, etc.

3. If you have ticked "Yes" in point no II above but do not have Taxpayer Identification Number/ function equivalent, please fill the detailed FATCA/ CRS Declaration Form specifying the reason for the same and sign the self-certification in this regard.

4. In case of joint holders, please provide separate FATCA/CRS Declaration.

FOR NON-INDIVIDUAL CLIENTS, PLEASE ATTACH FATCA, CRS & ULTIMATE BENEFICIAL OWNERSHIP (UBO), SELF CERTIFICATION FORM SEPARATELY.

POLICIES & PROCEDURES

AS PER SEBI CIRCULAR No. MIRSD/SE/CIR-19/2009 DATED 3 DEC/ 2009 - MANDATORY

For client, the word 'he' also means 'she' and 'it' as the case may be and the usage of masculine gender in this agreements also refers to the feminine gender or the neutral gender as the case may be, AUM CAPITAL MARKET PVT LTD. hereinafter for the sake of brevity shall be referred to as "ACMPL".

1. Penny Stocks:

ACMPL, may refuse execution of orders in 'penny stocks' means stocks which are appearing in the list of illiquid securities issued by the Exchanges from time to time or stocks which are quoting at less than RS.10/-, as a part of their due diligence and risk management policy. The client agrees to the same and undertakes it will not question the same.

The client understands and agrees that any trade in any illiquid scrip/illiquid contract would be solely at client's risk in terms of traded price and lack of liquidity. The client agrees and undertakes that he will not hold ACMPL responsible for any loss or damages, if any, incurred due to trading in such illiquid scrip/illiquid contract. Decision of ACMPL will be binding on the client and will be final. The client also agrees that he will not deny such trades if the same has resulted in a loss.

2. Setting Up Client's Exposure Limits:

1. ACMPL will normally give the exposure, equivalent to a pre-determined multiple/times of the net credit balance in the ledgers (across all segments), and the value of the collaterals given by the client (after applying appropriate hair cut). The level of exposure granted to the client will also depend on the track record of the client and/or market conditions and/or regulatory directives. The client agrees to abide by exposures norms decided by ACMPL, from time to time.
2. The client understands and agrees that he/she/it cannot claim any minimum level of exposure, as a matter of right.
3. The client agrees that, ACMPL has the discretion to decide the stocks which can be provided as margin/collateral. In case of shares given as margin/collateral by the client, ACMPL has the right to apply appropriate hair cut, at their sale discretion, while arriving at the value of the collateral shares. This will depend on the shares offered and/or market conditions and/or the track record of the client's dealings with ACMPL. The client will not have any objection on the hair-cut percentage decided by ACMPL, from time to time. The client understands and agrees to the same.
4. The client understands and agrees that, under normal market situations, the previous day's closing price will be taken as the base price for arriving at the value of the securities and the same will be done on a continuous basis. However, during volatile market conditions, ACMPL has the discretion to change the valuation method while arriving at the value of the shares given as margin/collateral.
5. However ACMPL reserves the right, at its sale discretion, to modify on the level of exposure to be given to a particular client and/or change the method of calculating the exposure, without giving any advance notice/reason to the client. The client understands and agrees to the same.
6. The client understands and agrees that the level of exposures, granted by ACMPL, may vary from client to client and he will not question the same.
7. In case ACMPL changes exposure policy the same would be intimated to the concerned branches. The client also agrees to get in touch with the concerned branch, on a daily basis, to keep track of any such changes.

3. Applicable Brokerage Rate

The rate of brokerage varies from clients to clients. The applicable brokerage is fixed with the mutual consent of the client, which is subject to further modification only after due consultation with the client. The brokerage rate at no point of time will exceed the rates as may be specified by the exchanges / SEBI from time to time. The brokerage will be exclusive of applicable taxes, duties, statutory charges etc.

a. For Capital Market Segment:

The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market segment of the Exchange shall be 2.5 % of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale / purchase value of a share is RS.10/- or less, a maximum brokerage 25paise per share will be collected.

b. For Option contracts:

Brokerage for option contracts would not exceed RS.100/- lot single side or such other rates as provided by the exchanges.

4. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period (This must not result in funding by the ACMPL in contravention of the applicable laws)

Client shall be liable to penalty and other charges on non payment of margin money, short selling of securities or units, failure on payment of auction, cheque bounce, non delivery of shares, increase open position or on any orders /trades /deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force as per Rules, Regulations, Guidelines and Circulars issued by SEBI and stock exchange time to time and client will be kept informed about the rate of such penalties & fines. Similarly in case of non receipt of full payment of value of delivery purchased, margin imposed (initial + MTM) interest will be charged at 21 % p.a. calculated on daily basis on shortfall amount till the date of actual realization of money.

In case of any penalty being imposed on ACMPL due to client's fault, the same is debited to his account and a verbal notification of the same is given.

ACMPL provides exposure against the upfront margin received in the form of cash / collateral from the client and the client also has the prerogative to demand withdrawal of cash and collaterals at the discretion. ACMPL shall not pay any interest or other benefit to the client for maintaining cash balances or depositing collateral margins with ACMPL.

5. The right to sell clients' securities or close 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)

1. The client agrees and undertakes that it shall settle the transactions, within the exchange specified settlement time, by making the requisite payment and/or deliver the shares.
2. In case the client fails to settle the transactions within the settlement date, then ACMPL has the discretion to square off the open positions, at an appropriate time, as it have the right to decide on the timing or the open positions that needs to be closed. The client understands and agrees to the same and undertakes that it will not hold ACMPL responsible for any loss or damages arising out of such square offs.
3. After such square offs of open position by ACMPL, as mentioned in above clauses, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balance, ACMPL shall have the right to liquidate the shares of the client (kept as collateral/margin) to the extent of the debit balance, without any intimation to the client. The client also agrees that it does not have the right to decide on the timing of such liquidation of collateral/margin shares and the shares that needs to be sold. The client undertakes that it will not hold ACMPL responsible for any loss or damages arising out of such selling.

6. Shortages in obligations arising out of internal netting of trades

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a. The short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Pay-in/ Payout Day. The securities delivered short are purchased from market on T +3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
- b. If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T +3 day or Auction day on Exchange. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/ credits shall be as per Exchange Debits and Credits after deducting exchange penalties.
- c. In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure, record date, Would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction.

7. Conditions under which a client may not be allowed to take further position or the ACMPL may close the existing position of a client.

ACMPL may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock ACMPL / exchange/ SEBI and any other reasons which ACMPL may deem appropriate in the circumstances stock broker / exchange/ SEBI and any other reasons which ACMPL may deem appropriate in the circumstances.

1. For non-payment or erosion of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the client's liabilities/ obligations.
2. Any order which is executed without the required Margin in the Client's account or the brokers exposure is more than 90% and above so no fresh trade will be taken.
3. The client hereby authorizes the Stock Broker to square up all his outstanding positions at the discretion of the Stock Broker, which are not marked for delivery 15 minutes before the closing time of the normal market or if the client's margin is evaporated by 70% in any of exchanges, ACMPL reserves the right to square off positions.
4. Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security due to any action on account of unusual trading activity or stock hitting circuit filters or for any other reason as prescribed or instructed by SEBI.
5. The stock broker is entitled to disable / freeze the account or trading facility / any other service if, in the opinion of the stock broker, the client has committed a crime, fraud or has acted in contradiction of this agreement or / evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

Any profit/loss arising out of these transactions shall be at the risk of and borne by the client.

8. Temporarily suspending or closing a client's account at the client's request

Client may instruct the member to close out the account or suspend the trading through client's account for the period as specified in the request in written and duly signed by him.

ACMPL can withhold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

9. Deregistering a client

A client is at liberty to deregister himself / itself from the member. For that purpose client will be liable first to settle his account in full. In case of any shortfall or any dues or payment remaining after adjusting the margin account, the client will be liable to make payment of the same. And in case of surplus arising out after netting of account, client shall be entitled to receipt of the same. The member shall also have power to deregister the client after settling his account at its sole discretion.

I / We have clearly understood and agree to abide by aforesaid policies and procedures.

I / We also understand and agree that these policies and procedures can be changed by ACMPL from time to time subject to posting of the amendments and posting therein on website of ACMPL (www.aumcap.com) and their applicability with prospective effect.

TARIFF SHEET

Name of the Client :

Client Code :

Name of the Branch :

BROKERAGE

Exchange & Segment		%	Min
NSE & BSE (Capital Market Segment)	Delivery		
NSE & BSE (Capital Market Segment)	Square Off		
NSE & BSE (Equity Derivatives Segment)	Futures		
NSE & BSE (Equity Derivatives Segment)	Options		
NSE (Currency Derivatives Segment)			
BSE (Currency Derivatives Segment)			
NSE (SLB)			
NSE (Commodity Derivatives Segment)			
BSE (Commodity Derivatives Segment)			
MCX (Commodity)			

Note: All Statutory charges will be levied separately (i.e.) GST, STT, Transaction Charges, Stamp Duty, SEBI Charges and any other charges)

ACMPL may debit charges of the depository participant for the trades and the bank charges for the realisation of the Cheques etc. to my/our account.

I / We have understood the above brokerage slab and agree for the above brokerage and other charges to be levied for the transactions done in my / our account.

AUM CAPITAL MARKET PRIVATE LIMITED

DP ID

NSDLIN304211

CDSL12057800

Tariff for Depository Service offered by AUM CAPITAL MARKET PVT LTD.

Category	Maintenance Charges*		Debit Transaction (Off Market/ Inter Depository/ Pay-in to ACMPL)	Demat	Remat	Pledge / Unpledge Lending / Borrowing Acceptance / Rejection			
Individual	BSDA		Rs. 15/- per transaction	Rs. 10/- per cert. Min. Rs. 200/- per request	Rs. 20/- per cert. or Rs. 20/- per 100 securities or part qty. which ever is higher. Min. Rs. 100/- per request	Pledge Charges Per Transaction	Pledge	Un-Pledge	Invocation
	For Holding Value RS.<=4Lac	For Holding Value>RS-4Lac & RS.<=10 Lac				Normal Pledge	0.02% of the Value (Min. ₹35 per Transaction)		
	NIL	Rs.100/-				Margin Pledge	₹10	₹10	NIL
Corporate	Rs.1000/-					CUSPA Pledge	₹12	NIL	₹12

* Note: All the charges mentioned above are inclusive of the charges levied by Depository

*Maintenance charges payable at the time of opening the account for the first year and in April of every subsequent year.

- DDPI stamp charges Rs. 20/- for CDSL & 100 for NSDL to be borne by the applicant at the time of A/C opening.
- Non-periodic statements will be charged at Rs.10/- for first 5 pages a maximum of Rs.25/-
- Rs.20/- for each erroneous/ failed/ rejected transaction.
- Charges will be Rs. 50/- per cheque bounce.
- In case of demat, remat & bill dispatching etc courier charges will be borne by client.
- BSDA Scheme is applicable only for individual clients.
- Demographic details change Rs. 50/- per request (except telephone no.)
- SEBI penalty charges will be reimbursed from CMs Actuals.
- Non payment of bill after 30 days from the due date will cause withdrawal of depository service for the account.
- Charges are subject to revision at the company's (ACMPL) sole discretion.
- Late submission charge for same day Pay-In is Rs.20/- per transaction in addition to transaction charge
- Password reset charge of Rs.20/- per request for Easi & Easiest
- Cost of Delivery instruction book, containing 10 leaves, except the first one is Rs.50/- which is payable at the time of depositing of Requisition Slip.
- Depository charges settlement fee @ Rs. 4.00 per debit instruction in a client's account to the participant of the client.
- All the new Individual Demat Accounts will be mandatorily opened under BSDA scheme subject to Depository approval.
- For corporate accounts Rs.500/- P.A will be charged towards Depository AMC.
- GST (Goods & Services Tax), stamp duty, statutory charges, notary charges and other charges if any shall be levied as per the stipulation of the concern authorities.
- All transaction charges under the BSDA scheme are same as per Regular scheme.

Signature 

First / Sole Holder

Second Holder

Third Holder

*Charges quoted above are for the service listed above. Any services not quoted above will be charged separately.

INFORMATION TO BE PROVIDED BY THE CLIENT IN RELATION TO THE PMLA, 2002

Name of the Client

Client Code

If Business/
Profession

Nature of Business

Industry

► Details of my/our Relatives, having account with ACMPL

Name

Relationship

UCC (Client Code)

► Details of the Corporate/Partnership Firm/Trust etc. where I/we am/are affiliated

Name

Entity Type

Business Nature

Relationship

UCC (Client Code)

I/We agree to submit every year anyone of following documents to ACMPL:

- | | |
|--|-------------------------------------|
| 1. Profit & Loss Account and Balance Sheet | 2. Form No. 16 (Salary Certificate) |
| 3. Self attested copy of Income Tax Return | 4. Networth Certificate |
| 5. Demat Transaction Statement & Bank Statement (for 6 months) | 6. Share Holding Pattern |

I/We confirm that I/we will immediately inform ACMPL in case I/we am/are convicted under any grounds or any action is taken against me/us by any authority(ies).

☐ I/We hereby declare that I/we do not fall under the Clients of Special Category as defined in Prevention of Money Laundering Act, 2002, or

☐ I/We declare that I/we fall under Clients of Special Category as defined in Prevention of Money Laundering Act, 2002 (choose the relevant category as under):

- ☐ Non resident Client I High Net-worth Clients
☐ Politically Exposed Persons I Companies offering foreign exchange offerings
☐ Non face to face client I Clients with dubious reputation as per public information available etc.
☐ Companies having close family shareholdings or beneficial ownership
☐ Trusts, Charities, Non- Governmental Organizations (NGOs) and organizations receiving donations
☐ Clients in high risk countries where existence/effectiveness of money laundering controls is suspect etc.


I/We intend to invest in the stock market with: ☐ Own Funds ☐ Borrowed Funds

[If Borrowed Funds, then please specify below Sources of Funds):

Sources of Borrowed Funds (If Any)

Amount (₹)

I/We hereby declare that I/we am/are beneficial owner of the trading/online account opened with ACMPL.

 Signature of The Client**► FOR OFFICE USE ONLY**

Risk Category

High ☐Medium ☐Low ☐**VOLUNTARY DOCUMENT**



AUM CAPITAL
YOUR TRUST IS OUR WEALTH

CLIENT COMMODITY-WISE CATEGORIZATION (Mandatory only for Commodity Clients)

To

AUM CAPITAL MARKET PRIVATE LIMITED

Regd. Office: 226/1, AJC Bose Road, "TRINITY BUILDING" 3rd Floor, Unit-3G, Kolkata - 700 020

Phone : +91 33 4057 2209 / • 10 • E-mail : helpdesk@aumcap.com • Website: www.aumcap.com

I/We do hereby declare that my/our Commodity-wise Value Chain as a participant is as follows:

Sr. No.	Symbol Description	*Farmer / EPOS	*Value Chain Participants (VCPs)	*Proprietary Trades	*Domestic Financial Institutional Investors	*Foreign Participants	*Others
1	ALUMINIUM						
2	BARLEY						
3	BRASS						
4	CARDAMOM						
5	CASTORSEED						
6	CHANA						
7	COPPER						
8	COPRA						
9	CORIANDER						
10	COTTON						
11	COTTONSEEDOIL CAKE						
12	CRUDE OIL						
13	CRUDE PALM OIL						
14	DIAMOND						
15	GOLD						
16	GUARGUM						
17	GUARSEED						
18	ISABGUL						
19	JEERA						
20	JUTE						
21	KAPAS						
22	LEAD						
23	MAIZEKHARIF						
24	MAIZERABI						
25	MENTHAOIL						
26	MOONG						
27	NATURALGAS						
28	NICKEL						
29	PADDY BASMATI						
30	PEPPER						
31	RAPE MUSTARSEED						
32	RBDPMOLEIN						
33	RUBBER						
34	SACK						
35	SILVER						
36	SOYABEAN						
37	SOYAOIL						
38	STEEL						
39	SUGAR						
40	TURMERIC						
41	WHEAT						

I/We also give any consent to upload the information to the respective commodity exchanges.

(1) Farmers/FPOs: It includes participants such as farmers, farmers' cooperatives, Farmers Producers Organisations (FPOs) and such entities of like nature. **(2) Value chain participants (VCPs):** It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Producers, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs. **(3) Proprietary traders:** It includes the members of stock exchanges trading in their proprietary account. **(4) Domestic financial institutional investors:** It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives. **(5) Foreign participants:** It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets. **(6) Others:** All other participants which cannot be classified in the above categories.

Client's Signature



Date : _____

TO
AUM CAPITAL MARKET PRIVATE LIMITED

Regd. Office: 226/1, AJC Bose Road, "TRINITY BUILDING" 3rd Floor,
Kolkata - 700 020
Phone : +91 33 4057 2209 / • 10 • E-mail : helpdesk@aumcap.com • Website: www.aumcap.com

Subject: Common Mobile / Email ID for Trading and DEMAT account

Dear Sir,

I, Mr./Mrs. _____ Having trading code as _____ and Demat account number as _____ would like to confirm that the Mobile number _____ and Email ID _____ is registered in my/our name. I am your registered client. Upon understanding from you that my mobile number / Email ID is registered with some of the clients who have trading and /or demat accounts with you, I have to state that this is in my full knowledge and I have consented to the below clients who are my relative/s* to state my mobile numbers/email id in their KYCs to which I have no objection. All the transactions in their accounts are not only done as per their respective instructions but they are well conveyed by us of all the SMS/Email belonging to them which are sent by you to us on our above mobile number / Email Id.

All these below clients also do not have any objection to the same.

Sr. No.	Client Name	PAN No.	Trading Code	Demat A/C.	Relation
1.					
2.					
3.					
4.					
5.					

However, in case of any further regulatory requirements, I undertake the abide upon hearing from you. Thank You.

Declarant's Name : _____

Declarant's Signature :  _____

Clients Name : _____

Client Signature :  _____

***Note :** The close relatives ONLY to be included are – Spouse, Dependent Children and Dependent Parents

AUTHORITY LETTER FOR RUNNING ACCOUNT SETTLEMENT OF FUNDS

To

Aum Capital Market Pvt Ltd

Trinity, 226/1, A.J.C. Bose Road,

3rd Floor, Unit No. 3G, Kolkata - 700 020

Date:

Dear Sir,

1. With reference to my / our trading account opened with you, I/we request you to maintain a running account for funds on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain funds receivable by me/us until specifically requested by me/us to be settled.
2. I/We understand and agree that no interest will be payable to me/us on the amounts so retained with you.
3. I/We authorize you to set off apart or whole of the margin deposited by me/us against any of my/our dues, by appropriating relevant amount of fund which form part of margin.
4. I/We may revoke the authorization at anytime by issuing a physical letter for the effect.
5. I/We also agree that the actual settlement of fund shall be done, atleast once in a

Tick your preference(Default is Quarterly Settlement)

Quarterly <input style="width: 40px; height: 20px;" type="checkbox"/>	Monthly <input style="width: 40px; height: 20px;" type="checkbox"/>
---	---

6. There shall be no inter-client adjustment for the purpose of settlement of the 'running account'.
7. For the clients having credit balance, who have not done any transaction in the 30 calendar days since the last transaction, the credit balance shall be returned to the client by TM, within next three working days irrespective of the date when the running account was previously settled.
8. You may retain the requisite funds towards settlements as per the applicable norms as prescribed by SEBI vide circular No. SEBI/HO/MIRSD/DOP/P/CIR/2022/101 dated 27th July, 2022 or any amendments made there after.
9. I/We shall bring any dispute on the "Statement of Running Account" to your notice within 30 working days from the date of receipt of the same.

Thanking you,

Yours Truly,

Signature of the Client-----

UNDERTAKING BY CLIENT

To,

Date: _____

Aum Capital Market Private Limited (ACMPL)

226/1, AJC Bose Road, "TRINITY BUILDING" 3rd Floor,
Unit-3G, Kolkata - 700 020

With reference to my/our registration as your client, I/We hereby unconditionally and irrevocably undertake and agree that:

1. I/We shall pay initial margin as specified by Exchange (s) before placing any order. ACMPL will have all the rights not to execute the order, if I/We fail to place the required initial margin upfront with them.
2. I/We shall, when called upon to do so, provide additional/maintenance margin money to ACMPL as required by them in respect of positions taken by me/us.
3. Margins will be payable only in acceptable forms (as stipulated by concerned exchange (s)/ SEBI from time to time), else may not be reckoned.
4. Non-fulfillment of either the whole or part of the margin obligations/any other obligation/commitment at any point of time will give ACMPL the right, without any further notice, to close-out outstanding position, withdraw trading facility, impose penalties, collect appropriate deposits including invoking bank guarantees/ fixed deposit receipts and/or selling out securities deposited/lying still undelivered. These measures are exclusive of anything ACMPL deems fit to take at their discretion to financially safeguard themselves under the circumstances.
5. To accept my/our order placement / modification / cancellation verbally and confirm about the same verbally. Hence, ACMPL is advised not to send me/us any order confirmation / cancellation / modification / trade confirmation slip, etc.
6. ACMPL may charge me/us the cost of holding my/our securities with them.
7. ACMPL will be not responsible / liable for any profit / loss incurred / sustained by the me/us for mistake / failure of whomsoever during Inter - Settlement of Securities.
8. ACMPL may debit the charges of the depository participant for providing depository services and the bank charges for the realization of the cheques etc. to my/our trading account.
9. ACMPL can/may pass on me/us any penalty imposed/loss suffered together with incidental expenses due to my/ our violating any of the requirements/stipulations of Exchange (s) or any other regulatory authority.
10. I/We will be extending all co-operation to ACMPL in their endeavour towards Anti-Money Laundering. ACMPL may initiate any enquiry against me/us and/or my/our transactions any time without any legal implication whatsoever against them. I/We understand that information about me/us and my/our transactions may be reported by ACMPL to FIU/ concerned authorities without any intimation to us and have no objection to the same.
11. I/We understand that ACMPL also does proprietary trading and I/We have noted the same and hereby state that I/We have no objection to ACMPL doing the proprietary trading.
12. I/We agree to abide, by client level position limit and authorize you not to increase our open position beyond the stipulated limit, and if inadvertently exceeded, to actually reduce and bring it within acceptable limits. I/We further authorize you to debit us for any penalty imposed on you for our violation towards position limit.
13. 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 there 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 agree not to hold ACMPL liable or responsible for delay or default in performance of your obligations for above and 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.



Signature of Client

CONSENT LETTER FOR DIGITAL COMMUNICATION

To,

Date: _____

M/s Aum Capital Market Pvt Ltd226/1, AJC Bose Road, "TRINITY BUILDING" 3rd Floor,
Unit-3G, Kolkata - 700 020

Dear Sir,

I hereby agree and consent to accept the contract notes, daily margin statement and the quarterly statements of funds and securities (herein after referred to as quarterly statement), bills and other documents/information issued by you electronically in accordance with the terms and conditions specified herein below and the same shall be binding on me. Also I undertake to check and bring the discrepancies to your notice within 48 hours of such issuance of contract notes, daily margin statement and within 30 days in case of quarterly statement. Further my non verification or not accessing the Contract Notes, daily margin statement and quarterly statement on regular basis shall not be a reason for disputing the respective at any time. This instruction to issue digital communication is applicable with immediate effect.

Email ID: 1) _____

Email ID: 2) _____

Thanking you,

Yours faithfully,



Signature of the Client

Client Name _____ Client Code _____

Terms and conditions:

Terms and conditions for availing the facility of the electronic Contract Notes, Daily margin statement & Quarterly statements etc. digitally signed are as follows.

1. The Client will ensure availability of the above mentioned e-mail Id at all times.
2. That the non-receipt of bounced e-mail notification by ACMPL once ECNs / Quarterly statement / Margin statement are sent to Client's above-mentioned e-mail ID can be safely taken of having been received.
3. The Client shall update for any change in e-mail Id through a duly executed physical letter.
4. The Contract Notes, Daily margin statement & Quarterly statements and other related information will be issued in electronic form in compliance with the guidelines issued by SEBI Exchange from time to time.
5. Electronic Contract Notes, Daily margin statement & Quarterly statements will also be available on URL <https://www.aumcap.com>
6. Clients can view the electronic Contract Notes, Daily margin statement & Quarterly statements on URL by using the username & Password.
7. Electronic Contract Notes will be archived at an interval of 15 days. If the client intends to view the electronic Contract Notes for a period prior to 15 days, client may request for the same in writing.
8. In case of any failure in system or errors in electronic Contract Notes, daily margin statement and quarterly statements etc. will be issued in physical form, which shall be binding on the client. Any changes in the terms and conditions shall be intimated from time to time.



Signature of Client

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DECLARATION FOR MOBILE NUMBER

Date: _____

To,
Aum Capital Market Private Limited
226/1, AJC Bose Road, "TRINITY BUILDING" 3rd Floor,
Unit-3G, Kolkata - 700 020

Dear Sir/Madam

I/We, _____ having PAN no. _____ do hereby declare that my Mobile Number is _____. Further, I/We authorize Aum Capital Market Pvt. Ltd (herein after referred to as "ACMPL") that the same may be used for giving me any information/alert/SMS/call or any other information. This shall not be treated as violation of any DND or any other similar rules applicable from time to time

I/We undertake to ACMPL and confirm to use my/our own judgement in taking a call and execute trade in the identified security(s) shall not hold ACMPL responsible for any loss suffered by me/us on account of executing or omitting to execute any trade in pursuance of such communication and/or investment advices sent by ACMPL.

I/We further declare that the above mentioned statement is true and correct.

Thanking you,

Yours faithfully,



Client Signature

Client Code _____

Client Name _____

ORDER PLACEMENT INSTRUCTIONS

VOLUNTARY

To,
AUM CAPITAL MARKET PVT. LTD. (ACMPL)
226/1, AJC Bose Road, "TRINITY BUILDING" 3rd Floor,
Unit-3G, Kolkata - 700 020

With respect to the Trading account with ACMPL, I/ We do hereby authorise ACMPL to do the following:

- a) I/We authorise you to accept my/our verbal orders / modifications / cancellation instruction. You are requested to accept verbal orders / instructions on my/our behalf. You are also requested to confirm the execution / non-execution of orders / instructions to me/us verbally. These shall be deemed to have been given in writing and shall be subject to all such terms and conditions as applicable to written contracts. I/We also request you not to provide me any order confirmation / modification / cancellation slips generated at your end.. Such authorisation shall be valid from commencement of business till termination of the Trading Account.
- b) I/We indemnify ACMPL 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 placed verbally.

In case if I wish to withdraw this consent, I shall inform ACMPL in writing and acknowledge by ACMPL by at least one week in advance from the date of withdrawal.

Thanking you,

Yours truly,



Client Code _____

Client Name _____

OPTION FORM FOR ISSUE OF DIS BOOKLET

To,
Aum Capital Market Pvt Ltd.
226/1, AJC Bose Road, "TRINITY BUILDING"
3rd Floor, Unit-3G, Kolkata - 700 020

Dear Sir/Madam,

I / We hereby state that: [Select one of the options given below]

☐ **OPTION 1**


I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CSDL account through I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with _____ (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

OR

☐ **OPTION 2**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I/We have issued a POA / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery 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.

Yours faithfully

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

FOR CDSL	SMS Alert Facility (Refer to Terms & Conditions given as Annexure 2.4)	Mobile No. <u>+91</u> [(Mandatory, if you are giving Power of Attorney / POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option.)												
	SMS Alert Facility Transactions Using Secured Texting Facility (TRUST). Refer to Terms & Conditions Annexure 2.6	I wish to avail the TRUST facility using Mobile number registered for SMS Alert Facility. I have read and understand the Terms and conditions prescribed by CSDL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/below mentioned BO ID registered for RUST												
		<table border="1"> <thead> <tr> <th>Stock Exchange Name / ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)									
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	Easi To register for easi, please visit our website www.cdslindia.com Esai allow a BO to view his ISIN balances, transactions and value of the portfolio online.													
FOR NSDL	SPEED -e For SPEED-e registration, please visit at https://eservices.nsdl.com .													

DO'S AND DON'TS

Do's and Don'ts which are relevant for operation of Trading / Demat account with Aum Capital Market Pvt Ltd .:

DO's

Issue cheque(s) towards margin / pay-in obligation of funds only in the name of “Aum Capital Market Pvt Ltd.”. Transfer securities against Pay-in obligations only in designated Demat Accounts of Aum Capital Market Pvt Ltd. Any receivables from Aum Capital Market Pvt Ltd. on account Pay-out shall be from Bank / Demat Account from Aum Capital Market Pvt Ltd. only and not from Authorised Person / Advisor. Ensure that no separate fees, charges, commissions or any consideration is paid to Authorised Person /Advisor; other than what is payable to Aum Capital Market Pvt Ltd. Make payments of bills/ dues in time to avoid delayed payment burden or Risk Management actions. Check ledger, derivative position, demat statement and your account details at regular intervals. Ensure that all your trades and Investments are executed under your instructions. Ensure that the digital contracts notes sent to your email are in concurrence with the said orders. Any change / modifications in your contact details should be immediately updated with Aum Capital Market Pvt Ltd.. Ensure to read all the tariff / brokerage applicable to you, before placing your orders with Aum Capital Market Pvt Ltd.

DON'TS

Do not give any discretionary rights to your Advisor / Relationship Manager / Authorized Person to trade in your account. As there are no fixed or guaranteed returns on investments in securities market, do not rely on any such commitments if any given by Authorised Person /Advisor. Never handover blank or signed Demat Slips Book to anyone, it is akin to signing a blank cheque. Do not give cash / securities to your Advisor / Relationship Manager /Authorized Person for any transaction. Never give a third party cheque for funds pay-in or shares for shares pay-in. Do not enter into any personal agreement with Authorised Person / Advisor in connection with your transaction in trading / demat account opened with Aum Capital Market Pvt Ltd..

(Above Do's and Don'ts are in addition to Guidance Note prescribed by SEBI)

To,
AUM Capital Market Private Limited
 226/1, AJC Bose Road, "TRINITY BUILDING"
 3rd Floor, Unit-3G, Kolkata - 700 020

Date: _____

Dear Sir/Madam,

We furnish below the details of our account held with the following bank to enable transfer of funds payable to us against sale of securities.

Bank _____	Branch _____
Type of Account: <input type="checkbox"/> Current <input type="checkbox"/> Savings <input type="checkbox"/> Others (Specify) _____ _____ _____	Branch Address: _____ _____ _____ _____
A/c. No. _____	MICR No.: _____
Client Address as mentioned in the Bank Statement _____ _____ _____	IFSC Code (RTGS / NEFT): _____
Original cancelled cheque must be enclosed	

We hereby declare that the particulars mentioned above are correct, complete and true and we request Aum Capital Market Pvt. Ltd. (hereinafter referred to as "ACMPL") to transfer the funds against payments due to us in to the above mentioned Bank Account until any other instruction our side. It is also agreed by us that the above facility is being provided to us at the instance of ACMPL and it can be discontinued /withdrawn by ACMPL at its discretion at any point of time as and when required without prior notice.

1. The transfer of funds to our bank account will continue to be governed by the terms and conditions as per the Member Client Agreement entered by and between ACMPL and ourself.
2. We shall review, upon first receipt, all transfers of funds made into the aforesaid bank Account. In case fund payment is not received in our account on the due date then we will notify the same to ACMPL within two days. After two days, we are solely responsible for any losses due to such delay and it shall be assumed by ACMPL that the funds have been received by us.
3. If the transaction is delayed or not effected at all for incomplete or incorrect information, we would not hold ACMPL responsible and/or indemnify ACMPL from any loss or damage met by us under such circumstances.

Thanking you.

Yours faithfully,

✓ _____
 (Signature of the Client)

Client Code _____

The Background

The Prevention of Money-Laundering Act, 2002 (as Amended) was notified on July 1, 2005. Subsequent to this, the Securities and Exchange Board of India (SEBI) has, on 18th January 2006, required market intermediaries to adopt a policy framework with respect to anti-money laundering measures to be followed by the intermediaries. Aum Capital Market Pvt Ltd (ACMPL) is inter alia, a stock broker and a depository participant needs to adhere to the same.

“ The Objective

(a) Money laundering has now become one of the major concerns of international financial community. Money Laundering is not just an attempt to disguise money derived from illegal activities. Rather, money laundering is involvement in any transaction or series of transactions that seek to conceal or disguise the nature or source of proceeds derived from illegal activities, including drug trafficking, terrorism, organised crime, fraud and many other crimes.

(b) Know your customer (KYC) is the guiding principle behind the Anti-Money Laundering (AML) measures. It incorporates the know your customer standards & Anti Money Laundering Measures, hereinafter to be referred as KYC Standards and AML Measures. The objective of is to have in place adequate policies, practices and procedures that promote high ethical and professional standards and prevent Aum Capital Market Pvt Ltd from being used, intentionally or unintentionally, by criminal elements.

(c) KYC Standards and AML Measures would enable Aum Capital Market Pvt Ltd to know/understand its customers, the beneficial owners in case of non-individual entities, the principals behind customers who are acting as agents and their financial dealings better which in turn will help the Company to manage its risks prudently.

“ Mandate issued by SEBI

SEBI has mandated the KYC policy should be designed to combat Money Laundering which covers Customer acceptance policy and customer due diligence measures, including requirements for proper identification of the customers. In view thereof, Aum Capital Markets Pvt Ltd has framed comprehensive KYC and AML policy.

(a) No account should be opened in anonymous or fictitious / benami name(s) i.e. to say that anonymous or fictitious / benami customers should not be accepted.

(b) No account should be opened or transactions conducted in the name of or on behalf of banned / suspended individuals, organisations, entities, etc. For the purpose, necessary cross checks must be made to ensure that the identity of a customer does not match with any person with known criminal background or with banned/suspended entities. In case of requirement, clarification would be sought from the prospective / registered client.

(c) No account should be opened if appropriate due diligence measures cannot be applied to a customer for want of verifiable documents on account of non co-operation of the customer or non-reliability of the data/information furnished to ACMPL.

“ Customer Identification procedure

Customer identification for each customer, whether existing, new, regular or occasional is an essential element of an effective customer due diligence programme. The same includes profiling of customer and solicitation of their identification, signature, Address and income documentation. Clients need to provide documents as required in the account opening document and required under SEBI and PMLSA regulations. Clients need to also provide details of their Income/Network in order to ascertain their financial profile. Clients are expected to update the same frequently and at least on annual basis.

POLICY ON HANDLING OF GOOD TILL CANCELLED AND/OR GOOD TILL TRIGGERED ORDERS AND/OR SIMILAR TYPES OF ORDERS OFFERED BY AUM CAPITAL MARKET PVT LTD TO ITS CLIENTS

AUM CAPITAL MARKET PVT LTD (in short "the Company/ ACMPL/ Trading Member") is a Company registered under the provisions of the Companies Act, 1956 with limited liabilities, having its registered office at 226/1 A J C Bose road, Trinity Building, 3rd Floor, Kolkata 700020 registered with Securities and Exchange Board of India (in short "SEBI") as a Stock Broker and Depository Participant, thus a Securities Market Intermediary as per the various provisions enshrined in the relevant Acts of SEBI.

AUM capital Market Pvt Ltd is a Trading Member of National Stock Exchange of India Limited (NSE); BSE Limited (BSE); Multi Commodity of Exchange of India Limited (MCX) and with SEBI Registration Number: INZ000185431. AUM Capital Market Pvt Ltd is a Depository Participant of National Securities Depository Limited (NSDL) bearing DP ID - IN304211 and Central Depository Services (India) Limited (CDSL) bearing DP ID - 12057800 with SEBI Registration Number IN-DP- 647-2021.

AUM capital Market Pvt Ltd is also registered with Association of Mutual Funds of India (AMFI) with ARN Code 64606 for the distribution of Mutual Fund Units of various reputed Asset Management Companies.

The **National Stock Exchange of India Limited** (in short "NSE") vide their Circular No. **NSE/INSP/62528 dated June 21, 2024** and **BSE Limited** (in short "BSE") by their Circular No. **20240622-2 dated June 22, 2024** have informed their Trading Members to frame a **Policy on Handling of "Good Till Cancelled" and/or "Good Till Triggered" Orders offered by their Trading Members to Clients.**

The Stock Exchanges has elucidated that the Exchange(s) has observed that certain Trading Members offer Good Till Cancelled (in short "GTC") and/or Good Till Triggered (in short "GTT") Orders or "Orders of Similar Type" to their clients, that enables clients to place buying orders and/or selling orders by specifying the "price" and also the "time frame" for which "an order" would remain "valid", for placing on the Stock Exchange Trading Platform.

The Stock Exchanges has observed the aforesaid types of "GTC and/or GTT" Orders are offered by the Trading Member(s) and the mechanism for handling such orders varies from Trading Member to Trading Member. In case of a "Corporate Action" (both Cash Corporate Action and/or Non-Cash Corporate Action), while certain Trading Members CANCEL such "GTC and/or GTT" Orders, while other Trading Members DO NOT CANCEL the same.

Thus the Stock Exchanges has enlightened and advised the Trading Members to take note that where there is a Corporate Action in the underlying Security, the "GTC and/or GTT" Orders could lead to ABSURD TRADES and INVESTORS are at RISK OF FACING HUGE MONETARY LOSSES.

Based on aforesaid inputs provided by the Stock Exchange and other practical operational experience, **AUM capital Market Pvt Ltd** (in short "the Company/ Trading Member") has formulated the **Policy on Handling of Good Till Cancelled Orders and/or Good Till Triggered Orders and/or Similar Types of Orders (in short "Policy")** offered to their Clients for BOTH On-Line and Off-Line Modes, subject to the following enshrined attributes:

Signature of 1st. Holder Signature of 2nd. Holder Signature of 3rd. Holder

AUM Capital Market Pvt Ltd

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- 1) The Policy is MANDATORY in nature and forms a part and parcel of the Mandatory Policies envisaged in the "Account Opening Form" of AUM Capital Market Pvt Ltd, while registering and/or re-activating Clients. The applicability of this Mandatory Policy spans across all Non-Institutional Clients of AUM Capital Market Pvt Ltd.
- 2) The Risk Management Department of AUM Capital Market Pvt Ltd shall be responsible to monitor "Good Till Cancelled and/or Good Till Triggered Orders and/or Similar Types of Orders of Client(s)" (in short "such Orders"), which would remain "valid" on attributes of "price" and also the "time frame" on the Trading Platform of AUM Capital Market Pvt Ltd.
- 3) At the outset it is important to mention that the "GTC and/or GTT and/or Similar Types of Orders" of Client(s) can be placed on the Trading Platform of AUM Capital Market Pvt Ltd provided the applicable un-encumbered Collateral (as mandated by the Clearing Corporation) is made available by the Clients to AUM Capital Market Pvt Ltd.
- 4) As "un-executed" "GTC and/or GTT and/or Similar Types of Orders" of Client(s) are Non-Importable onto the Back Office, it is for the benefit of the Client to Notify the Risk Management Department of AUM Capital Market Pvt Ltd by an email communication to helpdesk@aumcap.com regarding the un-executed / pendency of execution of "GTC and/or GTT and/or Similar Types of Orders", by the Client from their registered e-mail id with details of Trades alongwith their Unique Client Code.
- 5) The Client will be duty bound to monitor its "GTC and/or GTT and/or Similar Types of Orders" and maintain the requisite Collateral in Cash and/or Acceptable Security in the stipulated ratio, to ensure that the "GTC and/or GTT and/or Similar Types of Orders" are backed by requisite Collateral to remain Valid in the Trading Platform of AUM Capital Market Pvt Ltd.
- 6) As "GTC and/or GTT and/or Similar Types of Orders", attract applicable Collateral as per the norms laid by the Clearing Corporation and Allocation of applicable Cash Collateral by the Trading Member from its OWN Funds (if applicable Cash Collateral is NOT provided by the Client), as per the extant minimum Cash Collateral requirement enshrined by the Clearing Corporation. Though AUM Capital Market Pvt Ltd would endeavor to provide the applicable Cash Collateral from its OWN Funds on Best Effort Basis, however the Client cannot claim the placement of "GTC and/or GTT and/or Similar Types of Orders" and the continuation of the validity of such Orders on a concurrent basis, without providing the requisite applicable Cash Collateral to AUM Capital Market Pvt Ltd.
- 7) In the event that a request for release of Collateral (both Cash and/or Security) is placed by the Client to AUM Capital Market Pvt Ltd during the Trading Hours (i.e. 9:00 AM to 4:00 PM), the Risk Management Desk would process the same taking into account the pending "GTC and/or GTT and/or Similar Types of Orders".
- 8) In the event that a request for release of Collateral (both Cash and/or Security) is placed by the Client to AUM Capital Market Pvt Ltd during the Non - Trading Hours (i.e. other than the timings mentioned herein above), the Risk Management Desk would process the same without taking into account the pending "GTC and/or GTT and/or Similar Types of Orders", which

Signature of 1st. Holder

Signature of 2nd. Holder

Signature of 3rd. Holder

AUM Capital Market Pvt Ltd

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may lead the Cancellation and/or Rejection of the "GTC and/or GTT and/or Similar Types of Orders" in the Trading Platform of AUM Capital Market Pvt Ltd.

- 9) It is pertinent to mention that AUM Capital Market Pvt Ltd would be unable to intimate the Client regarding the Cancellation and/or Rejection of the "GTC and/or GTT and/or Similar Types of Orders" in the Trading Platform of AUM Capital Market Pvt Ltd attributed to the non- maintenance of the requisite Collateral by the Client.
- 10) The Client shall NOT hold AUM Capital Market Pvt Ltd responsible for the Non-Execution of GTC and/or GTT and/or Similar Types of Orders attributed for non-maintenance of requisite Collateral in the stipulated ratio, at the Client Level. It is pertinent to mention that the Client shall NOT claim any prospective notional "losses and/or compensation", for the Non- Execution of "GTC and/or GTT and/or Similar Types of Orders".
- 11) The Risk Management Department of AUM Capital Market Pvt Ltd will monitor the announcement of "Corporate Actions" (both Cash Corporate Action and/or Non-Cash Corporate Action) in respect of the Underlying Security for all the Open "GTC and/or GTT and/or Similar Types of Orders" of Client(s) on a Daily Basis.
- 12) AUM Capital Market Pvt Ltd shall intimate their clients about details of upcoming Corporate Actions applicable for such unexecuted "GTC and/or GTT and/or Similar Types of Orders" of Client(s), which should not be later than one day prior to the ex-date of the Corporate Action.
- 13) The Clients are duty bound to monitor the "GTC and/or GTT and/or Similar Types of Orders" placed on the Trading Platform of AUM Capital Market Pvt Ltd and the announcement of Corporate Actions by the underlying Security Issuer. The Client is also duty bound to follow the intimation by AUM Capital Market Pvt Ltd to their Client(s) over E-Mail at their Registered E-Mail address (es) and/or Short Messaging Services on their Registered Contact Number(s).
- 14) AUM Capital Market Pvt Ltd will NOT ALLOW CONTINUATION of "GTC and/or GTT and/or Similar Types of Orders" of Client(s) in an automated manner where "Corporate Actions" (both Cash Corporate Action and/or Non-Cash Corporate Action) are being caused by way of Book Closure and/or Record Date by the Registrar of the Issuer on the Stock Exchange.
- 15) The Clients are free to MODIFY the "GTC and/or GTT and/or Similar Types of Orders" of Client(s) where "Corporate Actions" (both Cash Corporate Action and/or Non-Cash Corporate Action) are being caused by way of Book Closure and/or Record Date by the Registrar of the Issuer on the Stock Exchange, before the Ex-Date of the Underlying Security
- 16) In case the Client(s) fail to modify the "GTC and/or GTT and/or Similar Types of Orders" before the ex-date as announced by the Stock Exchanges, the Risk Management Department of AUM Capital Market Pvt Ltd would CANCEL the pending "GTC and/or GTT" Orders and/or Similar Types of Orders of Client(s) where "Corporate Actions" (both Cash Corporate Action and/or Non-Cash Corporate Action) are being caused by way of

Signature of 1st. Holder

Signature of 2nd. Holder

Signature of 3rd. Holder

Book Closure and/or Record Date by the Registrar of the Issuer on the Stock Exchange, which are open/ un-executed on the Trading Platform of AUM Capital Market Pvt Ltd, on a best effort basis.

- 17) The Risk Management Desk of AUM Capital Market Pvt Ltd would intimate the Clients, regarding the cancellation of the "GTC and/or GTT" Orders and/or Similar Types of Orders, by an E-Mail to their registered E-Mail Id, by T+1 day from the date of Cancellation of such "GTC and/or GTT and/or Similar Types of Orders".
- 18) AUM Capital Market Pvt Ltd would follow the Corporate Actions which are made available by the Stock Exchanges on their official Website(s), viz. www.nseindia.com & www.bseindia.com and the Ex-Dates pertaining to cause of Corporate Action in way of Record Date and/or Book Closure announced in such official websites and/or the data files provided by the Stock Exchanges to their Trading Members for updation of scrip master on the Trading Platform of Trading Members.
- 19) Clients who wish to Notify AUM capital Market Pvt Ltd. for the "Stop Trade Facility" as per **SEBI vide Circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024**, the Client is Duty Bound to specifically Notify the placement of "GTC and/or GTT and/or Similar Types of Orders" for cancellation of such Orders.
- 20) The Client agrees to abide by this "**MANDATORY POLICY**" on **Handling of Good Till Cancelled and/or Good Till Triggered Orders and/or Similar Types of Orders** offered by AUM capital Market Pvt Ltd. to its Clients and the Client(s) would NOT claim any Monetary Losses and/or Compensation, for the adherence of the above attributes laid in "the Policy", by AUM Capital Market Pvt Ltd.

The Policy is subject to periodical review based on the inputs provided by the Stock Exchanges, the suggestions from the valued Clients of AUM Capital Market Pvt Ltd and the practical experiences faced by the Dealing Operation Team Members and the Risk Management Team Members.

The Compliance Officer – Mr. Chandra Kumar Jain for Trading & Mr. Mrinal Kanti Das for DP (Contact No. +91 3506 9941 / 3506 9948) would monitor the implementation of the Policy.

- ☐ **I have read, understood and accepted the Policy on handling Good Till Cancelled and/or Good Till Triggered Orders and/or Similar types of Orders offered by AUM Capital Market Private Limited.**

Signature of 1st. Holder

Signature of 2nd. Holder

Signature of 3rd. Holder

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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

Client Signature: -----

Client Name: -----

Demat Debit and Pledge Instruction (DDPI) Authorization





To,
AUM Capital Market Private Limited
226/1, AJC Bose Road, "TRINITY BUILDING"
3rd Floor, Unit-3G, Kolkata - 700 020

VOLUNTARY

Dear Sir/Madam,

Sub: Demat Debit and Pledge Instruction (DDPI) Authorization

I/We, (UCC _____) hereby explicitly agree, authorize and give consent to AUM CAPITAL MARKET PVT LTD. (ACMPL), to access Beneficial Owner (BO) Account _____ as per following purposes.

S. No.	Purpose	Signature of Client*
1.	Transfer of securities held in the beneficial owner accounts of mine / us (clients) towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me / us (clients) on the Stock Exchange through AUM CAPITAL MARKET PVT LTD.	1st Holder  2nd Holder _____ 3rd Holder _____
2.	Pledging / re-pledging of securities in favor of AUM CAPITAL MARKET PVT LTD. / Clearing Member (CM) / Clearing Corporations (CC) for the purpose of meeting margin requirements of the clients in connection with the trades executed by me/us (the client) on the Stock Exchange.	1st Holder  2nd Holder _____ 3rd Holder _____
3.	Mutual fund transactions being executed on Stock Exchange order entry platforms.	1st Holder  2nd Holder _____ 3rd Holder _____
4.	Tendering shares in open / tender offers through Stock Exchange platforms.	1st Holder  2nd Holder _____ 3rd Holder _____

AUM CAPITAL MARKET PVT. LTD.

I/We am/are entitled to revoke this authorisation at any time, after sending the revocation letter at your office. Such revocation shall not affect my/our obligations outstanding at the time of such revocation and the authority granted hereunder shall continue until all transactions and instructions already executed or issued have been settled.

Schedule I provides the details o demat account of ACMPL/Clearing Member/Clearing Corporations/Exchanges, where client shares/commodities can be transferred/Pledged/Repledged.

*The same may be e-signed or signed physically. DDPI document shall be valid from the dates as specified by Regulator

SCHEDULE - 1

D.P.NAME	D.P. ID	Client ID
NSE CDSL Pool Account No.	12057800	00000010
NSE NSDL Pool Account No.	IN304211	10000061
NSE Securities Lending & Borrowing Pool Account No.	12057800	00018406
BSE CDSL Pool Account No.	12057800	00000031
BSE NSDL Pool Account No.	IN304211	10000070
NSE Early Pay in A/C No.	11000011	00017140
BSE Early Pay in A/C No.	11000010	00019536
NSE SLB Early Pay in A/C No.	11000023	00000260
TM/CM-CLIENT SECURITIES MARGIN PLEDGE ACCOUNT NSDL	IN304211	10001494
TM/CM-CLIENT SECURITIES MARGIN PLEDGE ACCOUNT CDSL	12057800	00038925
Client Unpaid Securities Pledgee Account (CUSPA)	12057800	00048361
Client Unpaid Securities Pledgee Account (CUSPA)	IN304211	10004780

Signed and delivered for and on behalf of the Client,



First Holder

Second Holder

Third Holder

In case of HUF all adult Co-Parceners should sign

Name	Signature of Co-parcener
1. _____	1. _____
2. _____	2. _____
3. _____	3. _____

For **AUM CAPITAL MARKET PVT LTD.**

Authorised Signatory



AUM CAPITAL
YOUR TRUST IS OUR WEALTH

To,
AUM Capital Market Pvt Ltd
226/1, A J C Bose Road, Trinity
3rd Floor
Kolkata - 700020

Date: __/__/__

Sub: Mode of Operation of Joint Demat

Account Ref : BOLD: _____

Dear Sir,

This is with reference to the above-mentioned subject and the BO ID; we would like to opt for the mode of operation of the said Demat Account as per the option selected below:

I. Jointly

☐

II. Any one of the holders or Survivor(s)

☐

III. Communication to be sent to First Holder

☐

IV. Communication to be sent to Jointly

☐

Please do the needful and confirm.

Thanking You,

Yours Truly,

Signature of the 1st Holder

Signature of the 2nd Holder

Signature of the 3rd Holder

ACKNOWLEDGEMENT FOR RECEIPT OF COPIES
FOR EXECUTED DOCUMENTS

Aum Capital Market Pvt Ltd

Trinity, 226/1, A.J.C. Bose Road,
3rd Floor, Unit no. 3G, Kolkata-700020

This is with reference to the client code stated below for Trading Account and for Depository services account opened in my/our name, I/We acknowledge that I/we have received the copies of documents executed at the time of opening of the above accounts with Aum Capital Market Pvt Ltd.

- 1) Know Your Client (KYC) Application Form
- 2) Rights & Obligations of Stock Brokers, Authorised Persons & Clients
- 3) Rights & Obligations of Beneficial Owner and Depository Participant
- 4) Risk Disclosure Documents for Capital Market & Derivatives Segments
- 5) Guidance Note _ Do's & Don'ts for Trading on the Exchange(s) For Investor
- 6) Policies & Procedures
- 7) And copy of other documents executed by me as a client
- 8) Further to the above, I have verified and understood the Risk Disclosure Documents, Rights & Obligation, Guidance Note _ Do's & Don'ts along with Policies & Procedures provided to me/us.

Signature Of Client

Unique Client Code: _____

DP Id CDSL - 12057800

NSDL – IN304211

Client Id - _____

Date: _____

Name: _____



AUM Capital Market Private Limited

Corporate Office: Unit 6, Trinity Building, 6th Floor, 226/1, AJC Bose Road, Kolkata 700 020
Phone : + 91 3506 9900

Branch Offices :

BANGALORE - 080 2221 6621/22 CHENNAI- 044 4269 7626
MUMBAI - 022 4033 6900/07 NEW DELHI - 011 4058 1010/18
PUNE - +91 93250 94425 / 020 4670 6797 RANCHI - +91 62026 90460