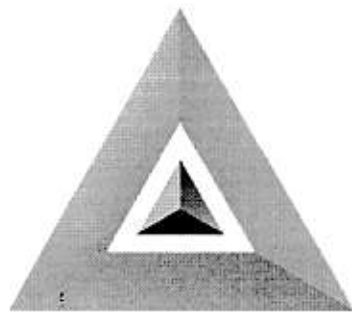


CLIENT REGISTRATION FORM



AUM CAPITAL

YOUR TRUST IS OUR WEALTH

Regd. Office: 5, Lower Rawdon Street, "Akashdeep" 1st Floor, Kolkata 700 020

Corporate Office: Unit 6, Trinity Building, 6th Floor, 226/1, AJC Bose Road, Kolkata 700 020

Phone: +91 33 4057 2209/10 • Fax: +91 33 2476 0191

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



Client Name : _____

Client Code : _____

DP ID/Client ID : _____

Branch Name : _____

Introducer : _____

AUM CAPITAL MARKET PRIVATE LIMITED (ACMPL)

REGD. OFFICE : "Akashdeep", 1st Floor, 5, Lower Rawdon Street, Kolkata - 700 020
Phone : 033-40572222/09/10 • E-mail : helpdesk@aumcap.com • Website : www.aumcap.com

SEBI Registration No. : INZ000185431

Member : **National Stock Exchange of India Ltd. (Membership No. 12764)**
Capital Market Segment
Equity Derivatives Segment
Currency Derivatives Segment
Commodity Derivatives Segment

Bombay Stock Exchange Ltd. (Membership No. 3180)
Capital Market Segment
Equity Derivatives Segment
Currency Derivatives Segment
Commodity Derivatives Segment

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

Depository Participant : SEBI Regn No. IN-DP-CDSL 479-2008
Central Depository Services (I) Ltd. (DP ID - 12057800)
National Securities Depository Ltd. (DP ID - IN304211)

Director's Name : Mr. Aditya Vikram Choudhary
Phone No.: 033-4057 2131 • Email Id : aditya.choudhary@aumcap.com

Compliance Officer's Name : Mr. Chandra Kumar Jain
Phone No.: 033-4057 2219 • Email Id : ck.jain@aumcap.com

Clearing Member : **ICICI Bank Limited (SEBI Reg. No. - INZ000197438)**
Equity Derivatives Segment
Currency Derivatives Segment
Globe Capital Market Limited (SEBI Reg. No.: INZ000177137)
Commodity 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 033-40572219

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.	dis@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 / 1800-224 430
You can also file your complaints online at https://scores.gov.in		

ACCOUNT OPENING KIT INDEX

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

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	4-20
3	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	21-23
4	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	24
5	Declaration pursuant to PMLA	Declaration towards Anti Money Laundering	25
6	Rights and Obligations	Document stating the Rights & Obligations of stock broker / trading member, Beneficial Owner & DP sub-broker and client for trading on exchanges (including additional rights & obligation in case of internet / wireless technology based trading).	26-32
7	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market	33-35
8	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	36-37

VOLUNTARY DOCUMENTS

9	Running Account Authorisation	Maintenance of Running Account	38
10	Undertaking by client	Contains non mandatory policies, procedures and rules to be acknowledged and followed by the client with respect to exposures, margining and other areas of operations during the course of relationship with ACMPL	39
11	Mandate by client for digital communication	Client consent letter for receiving Contract Note, Statement of Accounts, etc. by email	40
12	Declaration for Mobile No.	To receive alerts and other information	41
13	Order Placement Instruction	Client authorization for executing the client order received over phone / verbal orders	41
14	Issuance of DIS Booklet	Option to issue Delivery Instruction slips Booklet	42
15	Power of Attorney	Power of Attorney for Specific limited purpose for operating Beneficiary DP Account	43-44
16	Acknowledgement	Acknowledgement for receipt of copies & executed documents	45
17	Electronic Payout Request	Request to transfer funds to Client's A/c.	Back Cover Inside

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 / Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary public / Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
6. Identity card / document with address, issued by any of the following: Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII / sub account, Power of Attorney given by FII / sub-account to the Custodians (which are duly notarized and/ or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

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

Types of Entity	Documentary Requirements
Corporate	<ul style="list-style-type: none">: Copy of the balance sheets for the last 2 financial years (to be submitted every year).: Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).: Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.: Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.: Copies of the Memorandum and Articles of Association and certificate of incorporation.: Copy of the Board Resolution for investment in securities market.: Authorised signatories list with specimen signatures.
Partnership Firm	<ul style="list-style-type: none">: Copy of the balance sheets for the last 2 financial years (to be submitted every year).: Certificate of registration (for registered partnership firms only).: Copy of partnership deed.: Authorised signatories list with specimen signatures.: Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none">: Copy of the balance sheets for the last 2 financial years (to be submitted every year).: Certificate of registration (for registered trust only).: Copy of Trust deed.: List of trustees certified by managing trustees/CA.: Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none">: PAN of HUF.: Deed of declaration of HUF/ List of coparceners.: Bank pass-book/bank statement in the name of HUF.: Photograph, POI, POA, PAN of Karta.

Unincorporated	:	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

- 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.*

- Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and I FSC Code of the bank should be submitted.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For individuals:
 - 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.
 - 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.
- For non-individuals:
 - Form need to be initialized by all the authorized signatories.
 - 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 : 5, Lower Rawdon Street, 'Akashdeep' 1st Floor, Kolkata - 700 020
 Head Office : Unit 6C, Trinity Building, 6th Floor, 226/1, A/C Bose Road, Kolkata-20
 Phone : +91 33 4057 2209 / + 10 Fax : +91 33 2476 0191
 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
Nationality		Status			
<input type="checkbox"/> Indian <input type="checkbox"/> Other (Please Specify)		<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	

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.	
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 Signature
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

Regd. Office : 5, Lower Rawdon Street, 'Akashdeep'
1st Floor, Kolkata - 700 020

Phone : +91 33 4057 2209 / + 10 Fax : +91 33 2476 0191

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)

☐ Private Ltd Co.

☐ Bank

☐ Body Corporate

☐ Charities

☐ NGO'S

☐ LLP

☐ Partnership

☐ Defense Estb,

☐ Society

☐ AOP

☐ Trust

☐ FII

☐ HUF

☐ BOI

☐ Non-Govt.Org.

☐ FI

☐ Public Ltd. Co.

☐ Govt. Body

☐ Others (Please Specify)

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

B ADDRESS DETAILS

Correspondence
Address

City/Town/Village

Pin Code

State

Country

Specify the Proof of Address Submitted for Corres. Address

Tel. (Off.)

Mobile No.

Tel. (Res.)

Fax No.

Email ID

Registered Address
(If different from
above)

City/Town/Village

Pin Code

State

Country

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

Signature with stamp

Place :

Name & Signature of The Authorised Signatory

FOR OFFICE USE ONLY

IPV Details:

(DD/MM/YYYY)

Name of the Auth. Signatory

☐ Originals Verified & Self
Attested Documents
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

1st SIGNATORY	1	Name																		
		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)																			
Signature																				

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

2nd SIGNATORY	2	Name																		
		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)																			
Signature																				

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

3rd SIGNATORY	3	Name																		
		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)																			
Signature																				

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

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 (Saving/Current/Others In case of NRI/NRE/NRO)			
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.

	NSE	BSE
Cash	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
F&O	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Currency	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SLBM	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Commodity	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

If, in future, the client wants to trade on any new segment/new exchange, Separate authorisation/letter should be submitted by the Client to ACMP.

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

If client is dealing through the AP, provide the following details:

AP Name			Exchange Regn. No.	
Registered Office Address				
Phone			Fax	
Website				

WHETHER DEALING WITH ANY OTHER STOCK BROKER

(If case dealing with multiple stock brokers, provide details of all)


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 <i>(Please Specify)</i>		
Address of the Introducer			
Mobile/Phone No. of the Introducer		 Signature of the Introducer	

▶ 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"/> 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.		RBI Approval Date	
SEBI Regn. No. (for FIIs)			

▶ STANDING INSTRUCTIONS

I/We authorise you to receive credits automatically into my/our account	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account to be operated through Power of Attorney (POA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
SMS Alert Facility [Mandatory if you are giving power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]	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	
MODE OF RECEIVING STATEMENT OF ACCOUNT (TICK ANY ONE)		
<input type="checkbox"/> Physical Form	<input type="checkbox"/> Electronic Form [Read Note 5 and ensure that email ID is provided in KYC Application Form]	I/We wish to opt for BSDA <input type="checkbox"/> Yes <input type="checkbox"/> No
MODE OF RECEIVING DP CLIENT RIGHTS & OBLIGATION (TICK ANY ONE)		
<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form		
MODE OF RECEIVING RTA DOCUMENTS		
<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form		
Auto Pledge <input type="checkbox"/> Yes <input type="checkbox"/> No		
I will request you to send electronic transaction cum holding statement at the e-mail ID <input type="checkbox"/> Yes <input type="checkbox"/> No		Saral Account <input type="checkbox"/> Yes <input type="checkbox"/> No

▶ 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	

Account Statements

- ☐ As per SEBI Regulation
☐ Daily
☐ Weekly
☐ Fortnightly
☐ Monthly

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

- ☐ Singly ☐ Jointly
☐ As per Resolution ☐ 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**

- All communication shall be sent at the address of the Sole/First holder only.
- For Non-Individual-In case of additional signatures, separate annexures should be attached to the application form.
- 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.
- Instructions related to nomination, are as below :
 - 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.
 - 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.
 - 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.
 - 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**

NOMINATION DETAILS

- ☐ I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me/us in the said beneficiary owner account in the event of my / our death. [As per details given below]
Note: Details of 1st Nominee ONLY shall be considered for the purpose of Trading Account. Multiple nomination facility is available only for DP Account.
- ☐ I/We do not wish to make a nomination. [Strike off the nomination details below]

Nomination can be made upto three nominees in the account.		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
Name of the nominee(s) (Mr./Ms.)				
Share of each Nominee	Equally <input type="checkbox"/> [If not equally, please specify percentage]	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.				
Relationship With the Applicant (If Any)				
Address of Nominee(s)				
PIN Code				
Mobile/Phone No. of nominee(s)				
Email ID of nominee(s)				
Nominee Identification Details: [Please tick any of the following and provide details of same] <input type="checkbox"/> PAN <input type="checkbox"/> Aadhar <input type="checkbox"/> Savings Bank Account No <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID		Photograph of the Nominee Please Affix Your Recent Passport Size Photograph And Sign Across It	Photograph of the Nominee Please Affix Your Recent Passport Size Photograph And Sign Across It	Photograph of the Nominee Please Affix Your Recent Passport Size Photograph And Sign Across It
Details of the ID Proof				
Date of Birth (in case of minor nominee(s))				
Name of Guardian (Mr/Ms) (in case of minor nominee(s) }				
Relationship of Guardian with nominee				
Address of Guardian				
PIN Code				
Mobile/Phone No. of Guardian				
Email ID of Guardian				
Guardian Identification Details: [Please tick any of the following and provide details of same] <input type="checkbox"/> PAN <input type="checkbox"/> Aadhar <input type="checkbox"/> Savings Bank Account No <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID		Photograph of the Nominee Please Affix Your Recent Passport Size Photograph And Sign Across It	Photograph of the Nominee Please Affix Your Recent Passport Size Photograph And Sign Across It	Photograph of the Nominee Please Affix Your Recent Passport Size Photograph And Sign Across It
Details of the ID Proof				

NOMINATION DETAILS

SHOULD BE FILLED ONLY IF NOMINEE IS A MINOR

	Names(s) of holder (s)	Signature (s) of holder (s)
Sole/First Holder/ Guardian (in case sole holder is minor) (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		
Signature of Witness for Nomination		
Name of the Witness	Address	Signature

OTHER DETAILS **FOR INDIVIDUAL ONLY**

Gross Annual Income Details: Income Range per Annum (Please Tick Any One)		<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 (Please tick any one)	<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: Income Range Per Annum		<input type="checkbox"/> Below ₹ 20 Lacs <input type="checkbox"/> ₹ 20-50 Lacs <input type="checkbox"/> ₹ 50 Lacs - 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**

- 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.

Place _____

 Signature of the Client/(All) Authorized Signatory(ies)

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

Format of Request (Declaration for same email & mobile number)*[Please tick (✓) wherever applicable]***For 1st Holder**

DP ID		Client ID		Date	
Name of account holder					
<input type="checkbox"/>	Mobile Number				
<input type="checkbox"/>	Email ID				
I hereby declare that the aforesaid mobile number of E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents)					
Signature of account holder					
Name of account holder					

For 2nd Holder

DP ID		Client ID		Date	
Name of account holder					
<input type="checkbox"/>	Mobile Number				
<input type="checkbox"/>	Email ID				
I hereby declare that the aforesaid mobile number of E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents)					
Signature of account holder					
Name of account holder					

For 3rd Holder

DP ID		Client ID		Date	
Name of account holder					
<input type="checkbox"/>	Mobile Number				
<input type="checkbox"/>	Email ID				
I hereby declare that the aforesaid mobile number of E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents)					
Signature of account holder					
Name of account holder					

Note : Each holder has to submit the form separately

Important Instructions:

A) Fields marked with "*" are mandatory fields.

B) Tick "✓" wherever applicable.

C) Please fill the form in English and in BLOCK letters.

D) Please fill the date in DD-MM-YYYY format.

E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.

F) Please read section wise detailed guidelines / instructions at the end.

G) List of State / U. T. code as per Indian Motor Vehicle Act, 1988 is available at the end.

H) List of two character ISO 3166 country codes is available at the end.

I) KYC number of applicant is mandatory for update application.

J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode



For office use only

(To be filled by financial institution)

Application Type*

☐ New ☐ Update

KYC Number

(Mandatory for KYC update request)

Account Type*

☐ Normal ☐ Minor ☐ Aadhaar OTP based E-KYC (in non-face to face mode)☐ 1. PERSONAL DETAILS* (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> 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	
PAN*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
		<input type="checkbox"/> Form 60 furnished		

☐ 2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B 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)

<input type="checkbox"/> A-Passport Number	<input type="text"/>
<input type="checkbox"/> B-Voter ID Card	<input type="text"/>
<input type="checkbox"/> C-Driving Licence	<input type="text"/>
<input type="checkbox"/> D-NREGA Job Card	<input type="text"/>
<input type="checkbox"/> E-National Population Register Letter	<input type="text"/>
<input type="checkbox"/> F-Proof of Possession of Aadhaar	<input type="text"/>
II <input type="checkbox"/> E-KYC Authentication	<input type="text"/>
III <input type="checkbox"/> Offline verification of Aadhaar	<input type="text"/>

☐ 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"/>

☐ 3. CURRENT ADDRESS DETAILS (Please refer instruction B 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)

<input type="checkbox"/> A-Passport Number	<input type="text"/>
<input type="checkbox"/> B-Voter ID Card	<input type="text"/>
<input type="checkbox"/> C-Driving Licence	<input type="text"/>
<input type="checkbox"/> D-NREGA Job Card	<input type="text"/>
<input type="checkbox"/> E-National population Register Letter	<input type="text"/>
<input type="checkbox"/> F-Proof of Possession of Aadhaar	<input type="text"/>
II <input type="checkbox"/> E-KYC Authentication	<input type="text"/>
III <input type="checkbox"/> Offline verification of Aadhaar	<input type="text"/>
IV <input type="checkbox"/> Deemed Proof of Address-Document Type code	<input type="text"/>

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"/>

				-							
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Tel. (Res)

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

Mobile

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

[illegible][illegible]

6. APPLICANT DECLARATION

- * I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

		-			-				
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Place:

[illegible]

Signature of the person in charge of the application

7. ATTESTATION / FOR OFFICE USE ONLY

☐ Certified Copies☐ E-KYC date received from UIDAI☐ Date received from Offline verification☐ Digital KYC Process☐ Equivalent e-document☐ Video Based KYC☐ IPV DONE DATE --

KYC VERIFICATION CARRIED OUT BY

		-			=				
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[illegible][illegible][illegible][illegible]

[Employee Signature]

INSTITUTION DETAILS

[illegible][illegible]

[Institution Stamp]

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 minor above 10 years of age. the same (or CKYCR number of guardian) is to be uploaded.

CENTRAL KYC REGISTRY/ KNOW YOUR CUSTOMER (KYC) Application form / Legal Entity / Other than Individuals

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*

PAN*

☐ Form 60 furnished

TIN / GST Registration Number

2. PROOF OF IDENTITY (PoI)*

☐ 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 Person(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 | 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

B - Partnership Firm

C - HUF

D - Private Limited Company

E - Public Limited Company

F - Society

G - Association of Persons (AOP) / Body of Individuals (601)

H - Trust

I - Liquidator

J - Limited Liability Partnership

K - Artificial Liability Partnership

L - Public Sector Banks

M - Central/State Government Department or Agency

O - Artificial Jurisdical Person

P - International Organisation or Agency' Foreign Embassy or Consular Office etc.

Q - Not Categorized

R - Others

S - Foreign Portfolio Investors

N - Section 8 Companies (Companies Act, 2013)

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

1 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.

2 Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.

3 Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.

4 '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.

5 'Digital KYC process' has to be carried out as stipulated in the PMI Rules, 2005.

6 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

1 State' U.T Code and Pin' Post Code will not be mandatory for Overseas addresses.

2 Certified copy of document or equivalent e-document to be submitted.

D Clarification' Guidelines for 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.

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

1. 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.

2 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.

3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.

4 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 Details

KYC 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)

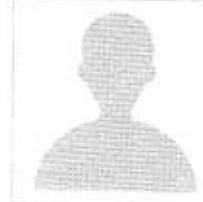
	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	DD - MM - YYYY	<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)			
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"/>					City / Town / Village*	<input type="text"/>				
						State/U. T. Code*	<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 Aadhaar
 IV ☐ Deemed PoA
 V ☐ Self Declaration

Line 2																							
Line 3																							
District*						Pin/Post Code*						City / Town / Village*						State/U.T. Code*			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 : DD - MM - YYYY

Place:

Signature /Thumb Impression

Signature /Thumb of Authorised Person(s)

3. ATTESTATION / FOR OFFICE USE ONLY

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

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 25 paise 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 12057800

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

Category	Maintenance Charges*	Transaction (Sell)	Demat	Remat	Pledge / Unpledge Lending / Borrowing Acceptance / Rejection
Individual	Rs. 500/- per financial year	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 service charges like Creation, Closure, etc. will be 0.02% of the value of securities of all type or minimum Rs. 35/-
Corporate	Rs. 1000/- per financial year				

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

- All statutory charges will be levied separately.
- Power of attorney 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 and thereafter Rs.2/-per page
- For weekly statements Rs.50/- will be charged per month which is payable in advance within 10th of every month
- 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.
- Margin pledge & unpledge Rs 10/- per scrip.
- 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 20 leaves, except the first one is Rs.50/- which is payable at the time of depositing of Requisition Slip.

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 | High Net-worth Clients
- ☐ Politically Exposed Persons | Companies offering foreign exchange offerings
- ☐ Non face to face client | 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

RIGHTS AND OBLIGATION OF STOCK BROKERS, SUB-BROKERS AND CLIENTS *as prescribed by SEBI and Stock Exchanges*

1. The client shall invest in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s):

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/ authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.

14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, every/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment 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. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/ notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-a-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make payout of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client

has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.

38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mailID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.
41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mailID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/ notices issued thereunder of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye- laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and Obligations of the parties mentioned in this document.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT (All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers / suspects discrepancies / unauthorized access through his username / password / account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and/or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial

Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,
1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository, and/or SEBI.
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.



Signature of Client

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/ limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities / derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

1.3 Risk of Wider Spreads:

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

1.4 Risk-reducing orders:

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

1.4.1A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6 Risk of Rumors:

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.7 System Risk:

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

1.7.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

1.7.2 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 / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/ glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to

note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing":

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

a. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

- b. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs
- c. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- d. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- e. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY :

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. GENERAL

- 4.1** The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.
- 4.2** The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI..

GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.nseindia.com, www.bseindia.com, www.mcxindia.com and SEBI website www.sebigov.in.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of Authorised person. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank demat account such money or securities deposited and from which bank demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker 'shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities

displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.

- c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

AUTHORITY LETTER FOR RUNNING ACCOUNT OF FUNDS

VOLUNTARY

Aum Capital Market Private Limited (ACMPL)
"Akashdeep", 1st Floor, 5, Lower Rawdon Street
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 all amounts receivable by me/us until specifically requested by me/us to be settled or to be dealt with in any other manner.
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 may be trading in derivatives segment & cash segment of various Exchanges and hence have various accounts with you. In this regard I/We hereby authorize ACMPL to act at its discretion of adjusting any credit balance under my/our various accounts against the debit in my/our account across segments/Exchange, without taking any further instruction from me/us.
4. I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my / our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
5. I/we hereby authorize you to pledge my / our securities deposited as margin as, permitted in the running account and to deposit my / our funds deposited as margin to Exchanges / Clearing Corporation towards margin.
6. I/we may revoke the authorization at any time by issuing a physical letter for the effect.
7. I/We also agree that the actual settlement of fund shall be done by us, at least once in a calendar quarter or month according to the option ticked below and the statement of account for the same will be provided to me by ACMPL.

SETTLEMENT PREFERENCE	ON THE BASIS OF OPTION TICKED
MONTHLY	
QUARTERLY	

8. I/we shall bring any dispute arising from the statement of account or settlement so made to the notice of ACMPL within 7 working days from the date of receipt of statement.
9. There shall be no inter-client adjustment for the purpose of settlement of the 'running account'.
10. For any outstanding obligations on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

Thanking you,

Yours truly,

Signature of the Client

UNDERTAKING BY CLIENT

To,
Aum Capital Market Private Limited (ACMPL)
 "Akashdeep", 1st Floor, 5, Lower Rawdon Street
 Kolkata - 700 020

Date: _____

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**VOLUNTARY**

Date: _____

To,
M/s. Aum Capital Market Pvt. Ltd
5, Lower Rawdon Street, 1st Floor, Kolkata - 700020

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](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

DECLARATION FOR MOBILE NUMBER

Date: _____

To,
Aum Capital Market Private Limited
 "Akashdeep", 1st Floor, 5, Lower Rawdon Street
 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

To,
AUM CAPITAL MARKET PVT. LTD. (ACMPL)
 5, Lower Rawdon Street, 1 st Floor, 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

DP ID	1	2	0	5	7	8	0	0	IN	3	0	4	2	1	1	Client ID										
Name of the Sole / First Holder																										
Name of Second Holder																										
Name of Third Holder																										

To,
Aum Capital Market Pvt Ltd.
 5, Lower Rawdon Street
 "Akashdeep", 1st Floor
 Kolkata - 700 020

Date															
------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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 Demat 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

Yours faithfully

	First / Sole Holder	Second Holder	Third Holder
Name			
Signatures			

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 Holder	Third Holder
Name			
Signatures			

POWER OF ATTORNEY

TO ALL TO WHOM THESE PRESENTS SHALL COME, I/WE _____

(Name(s) of the Client), residing at / having his / its office / registered office at _____ India.

An Indian inhabitant

SEND GREETINGS,

Whereas I/We hold a Beneficiary account no **12057800 / IN304211** _____ (Client ID)

Trading code _____ with Aum Capital Market Pvt Ltd. Depository participant of Central Depository Services (India) Ltd. and National Securities Depository Limited (Sebi Regn. No. **IN-DP-CDSL-479-2008**)

And whereas I/we am/are an investor /trader engaged in dealing/desirous of dealing in securities/derivatives/currency derivatives contracts and in Commodity Derivatives segment through Aum Capital Market Pvt Ltd (hereinafter referred to as "ACMPL"), (Single Entity SEBI Registration No. INZ000185431) a member of National Stock Exchange of India Limited (NSE), Bombay Stock Exchange Limited (BSE) and Multi Commodity Exchange of India Limited (MCX) (hereinafter referred to as the "Stock Exchanges").

And Whereas I/We am/are desirous of appointing an agent/attorney to operate the aforesaid beneficiary account on my/our behalf for a limited purpose in the matter hereinafter appearing:

NOW KNOW WE ALL THESE PRESENTS WITNESSTH THAT I/WE THE ABOVE NAMED DE HEREBY NOMINATE CONSTITUTE AND APPOINT AUM CAPITAL MARKET PVT LTD, a member of above stated Stock Exchanges having its registered office at , 5, Lower Rawdon Street, Akashdeep, 1st Floor, Kolkata — 700 020(WB) as my/our name to do the following acts, deeds, matters and things namely:

To Instruct the aforesaid Depository Participant and to execute following acts, deeds, matters and things namely to execute margin pledge the securities from my/our aforesaid beneficiary account to any account of the Attorney as specified in the Annexure A and hereby give consent for re-pledge of the securities by the above Attorney to Clearing Member and further by the Clearing Member to Clearing Corporation for my/our obligations/dues including for payin/early pay-in/ or for margin in cash and/ or Derivative segment and/or any other segment of any Exchange(s) in respect of dealing through the Attorney;

I/We authorize ACMPL to return to me/us the securities that it might have received erroneously from me/us i.e., those securities that ACMPL was not entitled to receive;

I/We authorize ACMPL to send consolidated summary of my/our scrip wise buy and sell positions taken with average rates to me/us by way of SMS/email on daily basis, notwithstanding any other document to be disseminated as specified by SEBI form time to time.

This power of Attorney shall continue to be in full force and effect until revoked by me/us in writing at any time, without notice and duly communicated to ACMPL. This Power of Attorney shall also be revoked in the event of my death / insolvency and upon receipt of the notification of my death/insolvency from my legal heirs or from a joint holder in case the power is given jointly. Revocation of this Power of Attorney (whether by revocation in writing or by actual notice of death / insolvency / winding up) shall in no way affect the validity of this Power of Attorney, with reference to any transaction initiated by my/our Attorney, prior to the actual receipt by AMPCL the fact of such revocation by me/us in writing or notice of death/insolvency/winding up as above provided.

All disputes arising out of this Power of Attorney shall be subject to jurisdiction of the courts in Kolkata (West Bengal).

I/We hereby agree that anything which my/our attorney does in the exercise of the rights and powers granted by me/us under this Power of Attorney shall be solely/jointly binding on me/us.

SIGNED AND DELIVERED BY the within named Beneficial Owner/Client

Signature 

Name(s)

First Holder

Second Holder

Third Holder

First Holder

Second Holder

Third Holder

IN THE PRESENCE OF

Name of Witness _____ Signature of Witness _____

Address of Witness : _____

I/We accept _____ Date: _____ POA ID _____

For Aum Capital Market Pvt. Ltd.

Authorized Signatory

Annexure - A**Details of Client Securities Margin Pledge & Pool Accounts of Aum Capital Market Pvt. Ltd.**

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 CDSL 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

Signature _____
First / Sole Holder_____
Second Holder_____
Third Holder**Signature(s) of Co-Parceners in case of HUF**_____
First / Sole Holder_____
Second Holder_____
Third Holder

Acknowledgement for receipt of copies for executed documents

Date.....

UCC.....

From

Name _____

BO ID : 12057800 _____

Address _____

Date of POA executed : _____

To,

Aum Capital Market Pvt Ltd.

5, Lower Rawdon Street

"Akashdeep", 1st Floor

Kolkata - 700 020

Sub. : Acknowledgement for receipt of copies for executed documents

Dear Sir,

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

1. A copy of Client Registration form (KYC) duly executed both for trading and Demat.

- ✱ Rights & obligations of stock brokers, Authorised Persons and clients
- ✱ Rights & obligations of Beneficial owner & depository participant
- ✱ Risk Disclosure Documents
- ✱ Guidance Notes - Do's & Don'ts for Trading on Exchange for Investor
- ✱ Policies & Procedures
- ✱ Copy of other documents executed by me as a client.
- ✱ Copy of executed Power of Attorney

Thanking you,

Yours truly,

at the time of opening Trading and Depository Service Account with Aum Capital Market Pvt. LTD.



Client's Signature

Acknowledgement Receipt

Application No.

Date :

We hereby acknowledge the receipt of the Trading and Demat Account Opening Application Form :

Name of the Sole / First Holder
Name of Second Holder
Name of Third Holder

Trading Member Cum
Depository Participant Seal and Signature

ELECTRONIC PAYOUT REQUEST

To,
AUM Capital Market Private Limited
 "Akashdeep" 1st Floor, 5, Lower Rawdon Street
 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 _____