



# Chandrakala Broking Services Pvt. Ltd.

*Ensuring Trustworthy Services*

MEMBER : BSE, NSE, CDSL LIMITED

## FORM FOR DEMAT & TRADING ACCOUNT OPENING NON-INDIVIDUAL

Form No. \_\_\_\_\_

Date .....

BRANCH	:	_____
CLIENT CODE	:	_____
CLIENT DEMAT A/C No.	:	_____
CLIENT NAME	:	_____

Sebi Registration Number : INZ000240039 (BSE,NSE) , IN-DP-577-2021 (CDSL)

Registered Office : Choraria Chowk, New Lane, Gangashahar-334 401, Bikaner, Rajasthan

Telephone : 0151-2271692, 2270146

E-mail : [info@chandrakalabroking.com](mailto:info@chandrakalabroking.com)

Investor Grievance : [investorgrievance@chandrakalabroking.com](mailto:investorgrievance@chandrakalabroking.com)

Head Office : Choraria Chowk, New Lane, Gangashahar-334 401, Bikaner, Rajasthan  
0151-2271692, 2270146

## CHECKLIST & KEY NOTES FOR ACCOUNT OPENING

Sr. No.	Category	Document Type	Mode of Account Opening			
1	Individual		Physical		Online	
			No. of Copies	Remarks	No. of Photo	Remarks
		PAN	2	Self Attested	1	Clear Original's Photo
		Aadhar	2	Self Attested	1	Clear Original's Photo
		Bank Statement / Passbook (6 Months Latest Transaction.)	2	Self Attested	1	Clear Original's Photo
		Total Cheque (1 AO Charge + 2 Cancel Cheque)	3	Two Original Signed Cancelled Cheque	1	Clear One Original Signed Cancelled Cheque Photo
		Photos	4	Self Attested	1	Clear Client selfie
		Nominee Doc. (PAN / Aadhar)	2	Self Attested	1	Clear Signed Nomination form (Physical & Photo) & Original PAN/Aadhar (Physical & Photo)
		POA	2	BSE & NSE	2	BSE & NSE (Physical & Photo)

Sr. No.	Category	Document Type	Mode of Account Opening			
2	HUF		Physical			
			Karta Docs.		Wife Docs.	
			No. of Copies	Remarks	No. of Copies	Remarks
		PAN (HUF)	2	Self Attested with HUF Stamp		
		PAN (Individual)	2	Self Attested	2	Self Attested
		Aadhar	2	Self Attested	2	Self Attested
		HUF Bank Statement / Passbook (6 Months Latest Transaction)	2	Self Attested with HUF Stamp		
		Total Cheque (1 AO Charge + 2 Cancel Cheque)	3	Two Original Signed Cancelled Cheque		
		Photo	5		2	
		POA	2	BSE & NSE		

**Note : KYC & CKYC For Karta is Compulsory and HUF stamp Should not be affixed on KYC & CKYC.**

Sr. No.	Category	Document Type	Mode of Account Opening			
3	Minor		Minor Docs.		Guardian Docs.	
			No. of Copies	Remarks	No. of Photo	Remarks
		PAN	1	Self Attested with Guardian Sign. & Stamp	1	Self Attested
		Aadhar	1	Self Attested with Guardian Sign. & Stamp	1	Self Attested
		Birth Certificate / 10th Marksheet	1	Self Attested with Guardian Sign. & Stamp		
		Minor Bank Statement / Passbook	1	Two Original Signed Cancelled Cheque		
		Total Cheque (1 AO Charges + 1 Cancel Cheque)	2	One Original Signed Cancelled Cheque		
		Photo	2		2	
		Nominee Doc. & Relation	1	Self Attested Aadhar / PAN		

**Note : KYC & CKYC For Guardian is Compulsory // Minor Seal should not be affixed on any of the Guardian's doc // Minor seal should be on every page of account opening form wherever signature being done // Guardian appointed can not be Nominee for Minor.**

Seal format for Minor	On Behalf of Minor Name
	Guardian

### Key Compulsory Points to be adhered to for all Categories

Mobile No.	
E-mail ID	
Common with	
Mother's Name	
Witness Sign. & Detail	

Plan Selected			
Basic		Savings	
Scheme 1		Scheme 2	
		Scheme 3	
Scheme 4			

Total Sign on pages = .....

## WELCOME TO CHANDRAKALA BROKING SERVICES PVT. LTD.

To,

Mr./Mrs./M/s \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

We, at Chandrakala Broking Services Pvt. Ltd., take pleasure in welcoming you and thank you for opening account with us and giving us the opportunity to serve you.

For your information, your account code for BSE NSE Cash & F&O is as under :

CODE NO.		INTRODUCER	
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Assuring you the best of our services always.

**For : Chandrakala Broking Services Pvt. Ltd.**

Manager - Customer Relations

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



## ACCOUNT OPENING KIT

### INDEX OF DOCUMENTS


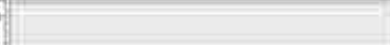
S. No.	Name of Document	Brief Significance of the Documents	Page No.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1.	Account Opening Form	Document captures the additional information about the constituent relevant to Trading Account / Demat Account and instruction / check list	1-7
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Anx. 1
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	Anx. 1
4.	Right and Obligations	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories.	Anx. 1
5.	Guidance note	Document detailing do's and don'ts for trading on exchange(s), for the education of the investors.	Anx. 1
6.	Terms & Conditions	Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL, Instructions to the Applicants (Bos) for account opening; Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL, Details Of Terms & Condition For The Investor / Client For Using Facility Of BSE Star MF.	8-12
7.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	13-15
8.	Tariff sheet & DP Service Charges	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) & Demat Account to be added by the stock broker.	16-17
<b>VOLUNTARY</b>			
9.	BSE Star MF Client Registration Form		18
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12.	Letter of Authority & Internet Trading Letter		21-22
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Name of Stock Broker : Chandrakala Broking Services Pvt. Ltd.  
 SEBI Reg. No. : INZ000240039 (BSE - NSE) / IN-DP-577-2021 (CDSL)  
 Registered Office Address : Choraria Chowk, New Lane, Gangashahar, 334 401, Bikaner, Rajasthan  
 Telephone : 0151-2271692, 2270146  
 Website : www.chandrakalabroking.com  
 Correspondence Office Address : Choraria Chowk, New Lane, Gangashahar, 334 401, Bikaner, Rajasthan  
 Compliance Officer : Sumati Kumar Surana, 09351200519, suranasumati@yahoo.co.in  
 Chairman : Smt. Sonali Surana

For any grievance / dispute please contact **CHANDRAKALA BROKING SERVICES PVT. LTD.** at the above address or e-mail id [investorgrievance@chandrakalabroking.com](mailto:investorgrievance@chandrakalabroking.com) and phone no. 0151-2271692 In case not satisfied with the response, please contact the BSE at [is@bseindia.com](mailto:is@bseindia.com) and Phone No. 91-022-22728097 & NSE at [ignse@nse.co.in](mailto:ignse@nse.co.in)



Signature of Client

	IN PERSON VERIFICATION
Trading Member Name	CHANDRAKALA BROKING SERVICES PVT. LTD.
SEBI Regn. No.	INZ000240039 (BSE,NSE) , IN-DP-577-2021 (CDSL)
Name of Client	
Signature of Client	 
Name of Official	
Stamp and Signature	
Date and Place	

## ACKNOWLEDGEMENT

Member : BSE, NSE  
SEBI Reg. No. : INZ000240039(BSE,NSE),IN-DP-577-2021 CDSL

To,  
Manager,  
Chandrakala Broking Services Pvt. Ltd.  
Regd. Off.: Choraria Chowk, New Lane, Gangashahar 334 401 Bikaner, Rajasthan.

Dear Sir/Madam

### CONSENT FOR THE RECEIPT OF THE RIGHTS & OBLIGATIONS, RDD & THE GUIDANCE NOTE.

I/We hereby give my / our consent to provide me/us the following documents in physical/electronic mode.

- Rights & Obligations of stock broker**, sub-broker/authorized person and client for trading on exchanges, including **Additional Right & Obligations in case of internet/Wireless Technology based Trading** along with **Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and depositories ; (Annexure 1)**
- Risk Disclosure Document for Capital Market and Derivatives segment ; (Annexure 1)**
- Guidance Note detailing Do's and Don'ts for trading on stock exchanges ; (Annexure 1)**

I/We acknowledge and declare that I/We have received, read and understood, acknowledged and agreed to the content of above mentioned document.

Further, I/We have also been informed that the standard set of mandatory documents is displayed for information on the stock broker's designated website, i.e. [www.chandrakalabroking.com](http://www.chandrakalabroking.com)

Place :

Date :




Additional KYC Form for Opening a Demat Account														
For Individuals / Non Individuals														
Chandrakala Broking Services Pvt. Ltd., Choraria Chowk, New Lane, Gangashahar, Bikaner														
(To be filled by the Depository Participant)										DP ID :: 12092300				
Application No.										Date				
DP Internal Reference No.														
DP ID	1	2	0	9	2	3	0	0	Client ID					
(To be filled by the applicant in <b>BLOCK LETTERS</b> in English) I/We request you to open a demat account in my/ our name as per following details:- <b>Holders Details</b>														
Sole / First Holder's Name					PAN									
					UID									
Second Holder's Name					PAN									
					UID									
Third Holder's Name					PAN									
					UID									
<b>Name *</b> _____ <small>*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.</small>														
<b>Type of Account (Please tick whichever is applicable)</b>														
<b>Status</b>					<b>Sub – Status</b>									
<input type="checkbox"/> Individual					<input type="checkbox"/> Individual Resident					<input type="checkbox"/> Individual-Director				
					<input type="checkbox"/> Individual Director's Relative					<input type="checkbox"/> Individual HUF / AOP				
					<input type="checkbox"/> Individual Promoter					<input type="checkbox"/> Minor				
					<input type="checkbox"/> Individual Margin Trading A/C (MANTRA)					<input type="checkbox"/> Others(specify) _____				
<input type="checkbox"/> NRI					<input type="checkbox"/> NRI Repatriable					<input type="checkbox"/> NRI Non-Repatriable				
					<input type="checkbox"/> NRI Repatriable Promoter					<input type="checkbox"/> NRI Non-Repatriable Promoter				
					<input type="checkbox"/> NRI – Depository Receipts					<input type="checkbox"/> Others (specify) _____				
<input type="checkbox"/> Foreign National					<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others (specify) _____									
<b>Type of Account (Please tick whichever is applicable)</b>														
<b>Status</b>										<b>Sub – Status</b>				
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify) _____										<b>To be filled by the DP</b>				
SEBI Registration No. (If Applicable)										SEBI Registration date				
RBI Registration No. (If Applicable)										RBI Approval date				
Nationality					<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____									
<b>Details of Guardian (in case the account holder is minor)</b>														
Guardian's Name										PAN				
Relationship with the applicant														
I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')										[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No				
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')										<input type="checkbox"/> Yes <input type="checkbox"/> No				
Account Statement Requirement					<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly									
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID										<input type="checkbox"/> Yes <input type="checkbox"/> No				
I / We would like to share the email ID with the RTA										<input type="checkbox"/> Yes <input type="checkbox"/> No				
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)														







I / We have received and read the document of 'Right and Obligation of BO-DIP' (DP-CM agreement for BSE Clearing Member Accounts) Including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time.  
 I / We declare that the particulars given by me / us above are true and to the best of my / our knowledge as on the date of making this application.  
 I / We further agree that any false / misleading information given by me us or suppression of any material information will render my account liable for termination and suitable action.

	Sole/First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature			

#### Details of Politically Exposed Persons (PEP)/Related to Politically Exposed Person (RPEP). [ For-non-individual]

Name of holder \_\_\_\_\_ PAN of the holder \_\_\_\_\_

Sr.No	Name of the Authorized signatories /Promoters /Partners / Karta/ Trustees /Whole Time Directors	Relation with the holder (i.e. promoters, whole time directors etc	Please tick the relevant option.
			<input type="checkbox"/> PEP
			<input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP
			<input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP
			<input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP
			<input type="checkbox"/> RPEP

Name & Signature of the Authorised Signatories Date \_\_\_\_/\_\_\_\_/\_\_\_\_ PEP: Politically Exposed Person

RPEP: Related to politically Exposed Person

(In case of more authorised signatories, please add annexure)



Signature of Client

===== (Please Tear Here) =====

#### Acknowledgement Receipt

Application No.:

Date:

We hereby acknowledge the receipt of the Account Opening Application Form:

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

Depository Participant Seal and Signature

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

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

DP ID	1	2	0	9	2	3	0	0	Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To,  
**CHANDRAKALA BROKING SERVICES PVT. LTD.**  
**CHORARIA CHOWK, NEW LANE, GANGASHAHAR, BIKANER. (RAJ.)**


Dear Sir/Madam,

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

**☒ OPTION 1 :**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my/our CDSL account thought 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 Joint Holder	Third Joint 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 Joint Holder	Third Joint Holder
Name			
Signatures			

===== (Please Tear Here) =====

**Acknowledgement Receipt**

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from :

DP ID	1	2	0	9	2	3	0	0	Client ID								
Name of the Sole / First Holder																	
Name of Second joint Holder																	
Name of Third joint Holder																	

**Depository Participant Seal and Signature**

**DEMAT & TRADING ACCOUNT RELATED DETAILS**

(via which transactions will be routed)

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.**A. BANK DETAILS (for DP & Trading)**

Bank Code (9-Digit MICR Code)																			
IFS Code (11 Character)																			
Account No.																			
Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____																		
Bank Name																			
Branch Name																			
Bank Branch Address																			
City		State		Country		PIN Code													

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)  
 (ii) Photocopy of the Bank Statement having name & address of the B.O.  
 (iii) Photocopy of the Passbook having name & address of the B.O.  
 (iv) Letter from Bank  
 > In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

**B. DEPOSITORY ACCOUNT DETAILS \***I/We already have Demat A/c ☐ Yes ☐ NoDepository Participant ☐ CDSL ☐ NSDL

Depository Participant Name \_\_\_\_\_

Beneficiary Name \_\_\_\_\_

DP ID No. \_\_\_\_\_

Beneficiary ID \_\_\_\_\_

\* Demat Master or recent holding statement issue by DP bearing name of the client should be submitted.

**C. TRADING PREFERENCES\*\***

Please sign in the relevant boxes where you wish to trade. Please strike segment not chosen by you.

Exchanges	NSE, BSE				MCX
All Segments	Cash/ Mutual Fund	F&O	Currency	Debt	Commodity Derivatives
<input checked="" type="checkbox"/> (4/29)	<input checked="" type="checkbox"/> (5/29)	<input checked="" type="checkbox"/> (6/29)	<input checked="" type="checkbox"/> (7/29)	<input checked="" type="checkbox"/> (8/29)	<input checked="" type="checkbox"/> (9/29)

If you do not wish to trade in any of segments / Mutual Fund, please mention here \_\_\_\_\_

If, in future you want to trade on any new segment/new exchange, separate authorization/letter will be taken.

\*\*Please submit only one of the following in case of trading in F &amp; O and Currency Derivatives:

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

**D. PAST ACTIONS**

- Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years: \_\_\_\_\_

**E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS**

- If client is dealing through the sub-broker, provide the following details:
  - Sub-broker's Name: \_\_\_\_\_ SEBI Registration number: \_\_\_\_\_
  - Registered office address: \_\_\_\_\_ Ph: \_\_\_\_\_ Fax: \_\_\_\_\_ Website: \_\_\_\_\_
  - Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers /sub brokers, provide details of all): \_\_\_\_\_
  - Name of stock broker: \_\_\_\_\_ Name of Sub-Broker, if any: \_\_\_\_\_
  - Client Code: \_\_\_\_\_ Exchange: \_\_\_\_\_
  - Details of disputes/claims pending from/to such stock broker/sub-broker: \_\_\_\_\_

**F. ADDITIONAL DETAILS**

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): \_\_\_\_\_
- Specify your Email Id, if applicable: \_\_\_\_\_
- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): \_\_\_\_\_
- Number of years of investment/trading experience: \_\_\_\_\_
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/partners: \_\_\_\_\_
- Any other information: \_\_\_\_\_



**G. INTRODUCER DETAILS (optional)**

Name of the Introducer: \_\_\_\_\_

(Surname) (Name) (Middle Name)

Status of the Introducer : Sub-broker/Remisier/Authorized Person/Existing Client/Others. Please specify \_\_\_\_\_

Address and phone no. of the introducer : \_\_\_\_\_

Signature of the Introducer: \_\_\_\_\_

#### H. NOMINATION DETAILS (for Individuals only)

I/We with to nominee

I/We do not wish to nominate

I do not wish to nominate Name of the Nominee .....	I do wish to nominate Relationship with the Nominee .....
--	--

PAN of Nominee \* ..... Date of Birth of Nominee \* .....

Address and Phone no. of the Nominee :

If Nominee is a minor, details of guardian :

Name of guardian: .....

Address and phone no. of the guardian: \_\_\_\_\_

Signature of guardian \_\_\_\_\_

**WITNESS** (Only applicable in case the account holder has made nomination)

Name .....

Signature \_\_\_\_\_

Address .....

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

Signature \_\_\_\_\_

Address .....

## DECLARATION

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

**Place :**

Date:



**FOR OFFICE USE ONLY**

UCC Code allotted to the Client : .....

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

I/We undertake that we have made the client aware of "Policy and Procedure", tariff sheet and all the non-mandatory document. I/we have also made the client aware of "Right and Obligation" document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the "Policy and Procedures", tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the "Right and Obligations" and RDD would be made available on my/our website, if any, for the information of the clients'

Signature of the Authorised Signatory

Date .....

Seal / Stamp of the Stock Broker

**INSTRUCTIONS/ CHECK LIST**

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

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

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

2. Copy of cancelled cheque leaf / pass book / bank statement specifying name of the constituent, MICR code or / and IFSC Code of the bank should be submitted.

3. Demat master or recent holding statement issued by DP bearing name of the client.

4. For individuals :

- 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.

5. For non-individuals :

- Form need to be initialized by all the authorized signatories.
- Copy of Board Resolution or declaration (on the letterhead) naming the person authorized to deal in securities on behalf of company/firm/others and their specimen signatures.



Signature of Client



## **Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL**

### **1. Definitions :**

In these Terms & Conditions the terms shall have following meaning unless indicated otherwise :

- i. "Depository" means Central Depository Service (India) Limited (CDSL)
- ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
- iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
- iv. "Service" means the service of providing facility to received / give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
- v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.

2. The service will be provided to the BO at his/her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository.

3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the Bos. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.

4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive message generated under-TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.

5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP/CDSL will not be held liable for acting on SMS so received.

6. The BO shall be responsible for submitting response to the "Responsive SMS" within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for Bos not submitting the response to the said SMS within the time limit prescribed by CDSL.

7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.

8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.

9. Bos are advised to check the status of their obligation from time to time and also advise the respective Cms to do so. In case of any issues, the BO/CM should approach their Dps to ensure that the obligation is fulfilled through any other mode of delivery of transaction as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.

10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit. CDSL-DP Operating Instructions-September 2013 page 2 of 2.

11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.

12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.

13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.



14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.

15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.

16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was originated by him.

17. Indemnity : In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damage, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

18. Disclaimer:

Depository shall be absolved of any liability in case :-

- a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
- b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
- c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.



Signature of Client

### **Instructions to the Applicants (Bos) for account opening:**

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impression and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his / her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number (s) etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexure should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

***(Signatures should be preferably in black ink.)***



Signature of Client

## Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

### [SMS Alerts will be sent by CDSL to BOs for all debits]

#### Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. "DP" means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. "BO" means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

#### Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

#### Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by this BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in "ON" and in a mode to receive the SMS. If the mobile phone is in "Off" mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

**Fees:**

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

**Disclaimer:**

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

**Liability and Indemnity:**

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

**Amendments:**

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

**Governing Law and Jurisdiction:**

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four (4) times at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of **REGISTRATION / MODIFICATION** (Please cancel out what is not applicable).

BOID: 

1	2	0	9	2	3	0	0										
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

  
(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole / First Holder's Name : \_\_\_\_\_

Second Holder's Name : \_\_\_\_\_

Third Holder's Name : \_\_\_\_\_

Mobile Number on which messages are to be sent: 

+91																	
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

  
(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of: \_\_\_\_\_

Email ID: \_\_\_\_\_  
(Please write only ONE valid email ID on which communication, if any, is to be sent)



Signatures

Sole / First Holder

Second holder

Third Holder

Place: \_\_\_\_\_

Date: \_\_\_\_\_



## Details Of Terms & Condition For The Investor / Client For Using Facility Of BSE Star MF.

1. Pre-requisites for becoming Investor / Client for the New BSE Star MF facility.
  - 1.1 The client who is desirous of investing in units of mutual fund schemes through the BSE Star MF.
  - 1.2 The Client intends to execute his instruction for the subscription / redemption of units of Mutual Fund Schemes through Chandrakala Broking Services Pvt. Ltd. of the BSE Star MF.
  - 1.3 The client has satisfied itself of the capacity of the Chandrakala Broking Services Pvt. Ltd. to deal in Mutual Fund units and wishes to execute its instruction through the Chandrakala Broking Services Pvt. Ltd. and the client shall from time to time continue to satisfy itself of such capability of the Chandrakala Broking Services Pvt. Ltd. before executing transactions through Chandrakala Broking Services Pvt. Ltd.
  - 1.4 The Client has approached to Chandrakala Broking Services Pvt. Ltd. with the application for availing the BSE Star MF facility.
  - 1.5 The client has submitted relevant KYC (Know Your Client) details to the Chandrakala Broking Services Pvt. Ltd.
2. Terms & Conditions
  - 2.1 The client shall be bound by circulars issued by BSE, Rules Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
  - 2.2 The client shall notify the Chandrakala Broking Services Pvt. Ltd. in writing if there is any change in the information in the 'Client Registration Form' provided by the client to the Chandrakala Broking Services Pvt. Ltd. at the time registering as a client for participating in the BSE Star MF or at anytime thereafter.
  - 2.3 The client shall submit to the Chandrakala Broking Services Pvt. Ltd. a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Chandrakala Broking Services Pvt. Ltd.
  - 2.4 The client has read and understood the risks involved in investing in Mutual Fund Schemes.
  - 2.5 The client shall be wholly responsible for all his investment decision and instruction..
  - 2.6 The client shall ensure continuous compliance with the requirement of the SEBI and AMFI.
  - 2.7 The client shall pay to the Chandrakala Broking Services Pvt. Ltd. fees 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 Chandrakala Broking Services Pvt. Ltd. renders to the Client.
  - 2.8 The client will furnish information to the Chandrakala Broking Services Pvt. Ltd. in writing if any winding up petition or insolvency petition has been filed or any winding up or insolvency order to decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
  - 2.9 In the event of non-performance of the obligation by Chandrakala Broking Services Pvt. Ltd., the client is not entitled to claim any compensation either from Chandrakala Broking Services Pvt. Ltd. or the Investor Protection Fund or from any fund of BSE or its clearing Corporation - Indian Clearing Corporation Ltd. (ICCL)
  - 2.10 In case of any dispute between the Chandrakala Broking Services Pvt. Ltd. and the investors arising out of the BSE Star MF facility, BSE and / or ICCL agrees to extend the necessary support for the speedy redressal of the disputes.



Signature of Client

## POLICIES AND PROCEDURES

**A) Policy for Penny Stock :** A stock that trades at a relatively low price and market capitalization. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large-bid ask spreads, small capitalization and limited following and disclosure. Depend on the market condition and RMS policy of the company RMS reserve the right to refuse to provide the limit in Penny stocks and losses if any on account of such refusal shall be borne by client only.

**B) Setting up client's exposure limits :** The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.) The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/market level limits in security specific/volume specific exposures etc.) and the stock broker may be unable to inform the client of such variation reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading system and 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 broker/exchange/SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone. We have margin based RMS system. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin applicable for respective security as per VAR based margining system of the stock exchange and/or margin defined by RMS based on their risk perception. Client may take benefit or "Credit for sale" i.e. benefit of share held as margin by selling the same by selecting Delivery option through order entry window on the trading platform, the value of share sold will be added with the value of deposit and on the basis of that client may take fresh exposure.

In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

**c) Applicable brokerage rate :** Brokerage will be charged within the limits prescribed by SEBI/Exchange.

**d) Imposition of penalty / delayed payment charges :** Client will be liable to pay late pay in/delayed payment charges for non making payment of their payin/margin obligation on time as per the exchange requirement/schedule at the rate upto 2% per month.

The client agrees that the stock broker may impose fines/penalties for any orders/ trade / 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, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades/ deals / actions of the client, the same shall be borne by the client.

**e) The right to sell client's securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues :** without prejudice to the stock brokers other right (including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate / close out all or any of the clients position without giving notice to the client for non payment of margins or other amounts including the pay in obligation, outstanding debts etc and adjustment the proceeds of such liquidation / close out, if any, against the clients liabilities/obligations. The client shall ensure timely availability of funds/securities in form and manner at designated time and in designated bank and depository account(s), for meeting his/her/its pay in obligation of funds and securities. Any and all losses and financial charges on account of such liquidations / closing out shall be charged to & born by the client. In cases of securities lying in margin account/client beneficiary account and having corporate actions like Bonus, Stock split, Right issue etc, for margin or other purpose the benefit or shares due to received under Bonus, Stock split, Right issue etc. will be given when the shares is actually received in the stock broker designated demat account. In case the payment of the margin / security / is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit / credit for the same only on the realization of the funds from the said bank instrument etc, at the absolute discretion of the stock broker. Where the margin / security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin / security & or to accept it at such

reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion. The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/securities/shares at the pre-defined squares off time or when mark to market (M-T-M) percentage reaches or crosses stipulated margin percentage, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

- f) **Shortage in obligations arising out of internal netting of trades** : Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation / clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first.

The policy and procedure for settlement or 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 payin/Payout Day. The securities delivered short are purchased from market on T+2 day 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+2 day or Auction day on Exchange +10% 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.

- g) **Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client** : We have margin based RMS system. Client may take exposure upto the amount of margin available with us. Client may not be allowed to take position in case of non-availability/shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/non making of payment for their payin obligation/outstanding debts.

- h) **Temporarily suspending or closing a client's account at the client's request** : On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place. On the request of the client in writing the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

- i) **Deregistering a client** : Notwithstanding anything to the contrary stated in the agreement, the trading member shall be entitled to terminate the agreement with immediate effect client account can be de-registered.

- (i) If the action of the client are prima facie illegal/improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- (ii) If there is any commencement of a legal process against the client under any law in force;
- (iii) On the death/unacy or other disability of the Client;
- (iv) If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;
- (v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;
- (vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- (vii) If the Client is in breach of any term, condition or covenant of this Agreement;
- (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- (ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- (x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- (xi) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

- j) **Inactive Client account** : - Client account will be considered as inactive if the client does not trade for period of one year. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the shares/ credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive.



The client has to make written request for reactivation of their account.

Trading in Exchange is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I/we understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any break down in our back office/front end system, or any such other problems/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 or not processing buy or sell Orders either in part or in full. I/We shall be fully liable and responsible for any such problem/fault.

- k) **Client Acceptance of Policies and Procedures stated hereinabove :-** I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker. Provided the change is informed to me/us with through any one or more means or methods. I/We agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and stock broker any court of law / judicial / adjudicating authority including arbitrator / mediator etc.



Signature of Client

### Disclosure Information (For Chandrakala Broking Services Pvt. Ltd.)

To,

\_\_\_\_\_

Sir,

This is to inform you that we do client based trading and Involved / Not-Involved in Pro-account trading in BSE, NSE.

Thanks and best regards.

For : **Chandrakala Broking Services Pvt. Ltd.**

Authorised Signatory / Director

I acknowledge the receipt of information given above by Chandrakala Broking Services Pvt. Ltd. that they do Client base trading and not doing Pro-account trading.



Signature of Client

# TARIFF SHEET MANDATORY

## BROKERAGE STRUCTURE

### CASH SEGMENT

Brokerage Slab	Slab %		Minimum	
	First Leg	Second Leg	First Leg	Second Leg
Delivery Based				
Daily Square Up				
Fixed Brokerage				

### DERIVATIVE SEGMENT : SLAB % FOR FUTURE

Brokerage Slab	Future %		Minimum	
	First Leg	Second Leg	First Leg	Second Leg
Daily Square Up				
Settlement Square Up				

### DERIVATIVE SEGMENT : SLAB % FOR OPTIONS

Brokerage Slab	Option %		Minimum per lot	
	First Leg	Second Leg	First Leg	Second Leg
Daily Square Up				
Settlement Square Up	Same as above		Same as above	
Service Tax				

### CHARGES

	CM SEGMENT	F&O SEGMENT	CD SEGMENT
STT			
TOC			
STAMP DUTY			
OTHER CHARGES			
(i)			
(ii)			
(iii)			



Signature of Client



**Chandrakala Broking Services Pvt. Ltd.**  
Choraria Chowk, New Lane, Gangashahar-334 401, Bikaner, Rajasthan  
0151-2271692, 2270146 E-mail : info@chandrakalabroking.com

**TARIFF STRUCTURE FOR DEPOSITORY SERVICES W.E.F. 15.04.2021**

S.No.	Particulars	Charges (In INR)
1.	Annual Maintenance Charges (AMC)	
	SCHEME I : Annual AMC	Rs. 320/-*
a. Individual	SCHEME II : Annual AMC (4th Year A)	Rs. 1000/-**
	SCHEME III : One Time AMC	Rs. 1695/-**
b. Corporate		Rs. 999/-
2.	Transaction Charges	
	a. Purchase (On Market / Off Market)	FREE
	b. Sale (On Market / Off Market - Slip Transaction)	Min. Rs. 27 and Max. Rs. 100 (Subject to 0.03% of transaction value whichever is lower.
	c. Sale (POA)	Min. Rs. 17 and Max. Rs. 100 (Subject to 0.03% of transaction value whichever is lower.
3.	BSDA (Basic Service Demat Account) Transaction Charges	Rs. 34/- per transaction (POA) and Rs. 54/- per transaction (Non-POA)
4.	Delivery Instruction Slip Book	
	a. First DIS Book	FREE + Courier / Postage Charges
	b. Additional DIS Book	Rs. 20/- per book (10 Slips)+Courier/Postage Charges
5.	Additional Statement Charges (one Statement per month will be provided free of cost vide E-mail.)	
	a. by E-mail	FREE
	b. Physical	Rs. 5/- Page + Courier / Postage Charges
6.	Dematerialization	Rs. 10/- per certificate (Minimum Rs. 30/-) +Courier Postage Charge
7.	Rematerialization	Rs. 100/- or maximum 0.03% of transaction value whichever is higher.
8.	Instruction Failure / Demat Rejection Charges	Rs. 40/- per transaction.
9.	Pledge Creation / Closure / Invocation Charges	Rs. 20/- per ISIN.
10.	KRA Charges in account	Rs. 40/-
11.	Modification charges (Online / Offline)	FREE

(upto 10 certificates)

30 days\*

office will be Back office  
"Chandrakala Broking Pvt. Ltd."  
"Chandrakala Ltd."





## BSE Star MF Client Registration Form

To,

**Chandrakala Broking Services Pvt. Ltd.**

Date : \_\_\_\_/\_\_\_\_/20\_\_\_\_

Choraria Chowk, New Lane, Gangashahar-334 401, Bikaner, Rajasthan

0151-2271692, 2270146 E-mail : info@chandrakalabroking.com

Sir,

### Sub : BSE Star MF Client Registration Form

I / We \_\_\_\_\_ am / are registered as your client with  
Client Code No. \_\_\_\_\_ in BSE (Whichever applicable).

I / We am / are interested in availing the BSE Star MF facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE Star MF of the Exchange.

For the purpose of availing the BSE Star MF facility, I / We state that know your client details as submitted by me / us for the stock broking may be considered for the purpose of BSE Star MF and I / We further confirm that the details contained in same remain unchanged as on date.

I / We are willing to abide by the terms and conditions as mentioned in the BSE circular dated December 2, 2009 and as may be specified by the Exchange from time to time in this regard.

I / We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I / We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I / We choose to subscribe / redeem. I / we further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Scheme.

I / We therefore request you to register me / us as your client for participating in the BSE Star MF.

Thanking You,  
Yours Faithfully,

Client Signature :  \_\_\_\_\_

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

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

## RUNNING ACCOUNT AUTHORISATION VOLUNTARY

To,  
**Chandrakala Broking Services Pvt. Ltd.**

Regd. Office : Choraria Chowk, New Lane  
Gangashahar, Bikaner 334 401, Rajasthan.

I/We are dealing through you as a client in Capital Market and/or Future & Option segment in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

- 1) I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of the Exchange/Clearing corporation unless I/we instruct you otherwise.
- 2) I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) at any segment(s) of the Exchange/Clearing corporation, unless I/We instruct you to transfer the same to my/our account.
- 3) I/We request you to settle my fund and securities account / Once in every calendar Quarter or / Once in a calendar Month or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
- 4) In case I/We have an outstanding obligation 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.
- 5) I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities statement of account or statement related to it, as the case may be at your registered office. After that I/We shall have no right to dispute the transaction, funds and/or securities ever and agree that you shall not be liable for any incidental loss/damage caused due to retention of funds and/or securities.
- 6) I/We confirm you that I can revoke the above mentioned authority anytime by giving notice in writing to you.
- 7) I/We shall be liable for all losses, damages and action which may arise as a consequence of your adhering to carrying out my/our directions given about and further agree that you shall not be liable for any claim for loss or profit or any consequential incidental, special or exemplary, damages, caused by retention of securities/monies under this agreement.

Thanking you,  
Yours faithfully

Signature



Client Name : .....

Client Code : .....

Date : .....



## AUTHORISATION FOR ELECTRONIC CONTRACT NOTE VOLUNTARY

To,  
**Chandrakala Broking Services Pvt. Ltd.**

Regd. Office : Choraria Chowk, New Lane  
Gangashahar, Bikaner 334 401, Rajasthan.

I/We have been/shall be dealing through you as my/our broker on the Capital Market and/or Futures & Options Segment.

I/We understand that, I/We have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/We hereby opt for receipt of contract notes in electronic form. I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account(s)/email id on your record for sending the contract notes to me/us.

1. ....
2. ....

I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s)/email id(s).

I/We hereby further authorise you to send us account statement, bills, and other notices and statements periodically through the same channel.

I/We agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any nonreceipt delayed receipt for any reason whatsoever.

I/We understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I/We am/are an internet client then in that event the request for change in e-mailid/e-mail Account can be made by me/us through secured access using client surface user Id and password please treat this authorisation as written rectification of my/our verbal directions/authorization given and carried out by you earlier.

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

Thanking you

Your's Faithfully

Client's Name: .....

Client Code: .....

Date : .....



.....

Signature of Client

## LETTER OF AUTHORITY VOLUNTARY

To,

**Chandrakala Broking Services Pvt. Ltd.**

Regd. Office : Choraria Chowk, New Lane  
Gangashahar, Bikaner 334 401, Rajasthan.

Dear Sir,

Sub: Letter of Authority-CASHIF&O Segment of BSE NSE

I/We are dealing in securities with you at BSE NSE in Cash, Derivative Segment and in order to facilitate ease of operations,  
I/We authorise you as under:

- 1) I/We authorise you to setoff outstanding (as per adjustment of balances in family account authority letter) in any of our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or against the value of cash margin or collateral shares provided to you by us. (I/We here by authorise you to interese transfer or hold funds, securities, debits, credits etc. of my / our family members accounts.
- 2) I/We hereby authorise you not to provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.
- 3) I/We hereby authorise you to keep all the securities which we give you in margin including the payout of securities received by us for meeting margin / other obligation in stock exchange in whatever manner which may include pledging of shares in favour of bank and / or taking loan against the same for meeting margin/ pay - in obligation on our behalf or for giving the same as margin to the Stock Exchange or otherwise.
- 4) I/We request you to retain credit balance in any of my/our account and to use the idle funds towards our margin/ future obligations of Exchange unless I/We instruct you otherwise. I/We also authorize you to debit the necessary demat charge from time to time, for keeping the shares in your client demat beneficiary account on my/our behalf. I/We also authorise you to debit the delay payment charges upto @ 2% p.m. for the debit balances if any, in my/our account and not settled as per the exchange requirements.
- 5) I/ We request you to retain Securities in your Demat account for my/ our margin/future obligations of Exchange unless I/We instruct you to transfer the same to my/our account.
- 6) I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.
- 7) I/We will collect from your office Contract Notes, Bills, Securities, etc. as per our convenience.
- 8) I/We request that you may send/despach me/us contract notes other documents like financial ledgers, margin statements, Beneficiary Stocks etc., through E-mail: on my/our designated e-mail address of ..... We will completely rely on the log reports of your despatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute the same.
- 9) I/We will inform you the change of my/ our my e-mail, if any, in future either by regd. post or through a digitally signed e-mail.
- 10) 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 hall, 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 or not processing buy or sell Orders either in part or in full. I/We agree that I/ We shall be fully liable and responsible for any such problems / fault.

- 11) I/We confirm that I/we will never sublet the trading terminal on any term of connectivity, from my/our place to any other place without your prior approval.
- 12) I/We am/are agreeable for inter-settlement transfer of securities towards settlements.
- 13) I/We am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
- 14) All fines/penalties and charges levied upon you due to my acts/deeds or transactions may be recovered by you from my account.
- 15) I/We hereby confirm that we have read & understood the provisions of prevention of money laundering Act and will comply with these provisions.

Yours faithfully,




Signature of Client

Date : .....

## INTERNET TRADING LETTER VOLUNTARY

To,

**Chandrakala Broking Services Pvt. Ltd.**

Regd. Office : Choraria Chowk, New Lane  
Gangashahar, Bikaner 334 401, Rajasthan.

Dear Sir,

We wish to trade through internet on BSE, NSE and confirm that we are fully aware of and understand the risks associated with availing of a service of routing orders through internet including the risk of misuse and unauthorized use of our Username and or Password by a third party and the risk of a person hacking into our account on your ITORS system and unauthorisedly routing order on behalf of us through the System. We agree that we shall be fully liable and responsible for any and all unauthorized use and misuse of our Password and/or Username and also for any and all acts done by any person through your ITORS system on our Username in any manner whatsoever.

We hereby confirm you to send our Username and Password on the below mentioned e-mail address.

E-mail Address: .....

Thanks and best regards

Signature :




Name : ..... Trading Code : .....

Date : .....

## DECLARATION FOR MOBILE NO. VOLUNTARY

I, ..... having PAN No. .... do hereby declare that my mobile no. is ..... Further, I authorize Chandrakala Broking Services Pvt. Ltd. that the same may be used for giving me any information / alert / sms / call.

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



Signature of Client

Name : .....

Client Code : .....

Date : .....

## CLIENT DEFAULTER DECLARATION

I, ..... having PAN No. .... do hereby declare that I have not been involved in any terrorist activity and I have not been declared as defaulter or my name is not appearing in defaulter database as per SEBI / Various Exchange / Regulatory bodies / CIBIL (Credit Information Bureau of India Ltd.) etc. I further declare that the above mentioned declaration / statement is true and correct.



Signature of Client

Name : .....

Client Code : .....

Date : .....

[Note : To be signed by person himself / herself not to be signed by his/her attorney/authorised person etc.]



## Annexure A

### Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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

















## Demat Debit and Pledge Instruction ("DDPI")

I/We agree to the terms and purpose of this DDPI document between Mr./Ms. \_\_\_\_\_  
 \_\_\_\_\_ (First holder) \_\_\_\_\_ hold a Beneficiary  
 account no.12092300 \_\_\_\_\_ (BO-ID) and UCC \_\_\_\_\_ an individual/ body of  
 individuals/a sole proprietary concern/a partnership firm/a body corporate/trust, registered/incorporated, under the provisions of the Indian  
 Partnership Act, 1956/the Companies Act 1956, or any relevant Act or unregistered in nature; and CHANDRAKALA BROKING SERVICES PVT.  
 LTD., (hereinafter referred to as "Chandrakala"), a Company within the meaning of Companies Act, 1956 with its registered office at Regent  
 Chamber, CHORARIA CHOWK, NEW LANE, GANGASHAHAR, BIKANER - 334401, Bearing SEBI registration No. IN-DP-577-2021.

Whereas:

- (a) I/We have established a business relationship with CHANDRAKALA BROKING SERVICES PVT. LTD., to avail services w.r.t trading,  
 investing & other services offered by CHANDRAKALA BROKING SERVICES PVT. LTD., bearing SEBI registration No. INZ-000240039.  
 (b) This DDPI document shall be in line with SEBI Circular no. SEBI/HO/MIRSD/DOP/P/CIR/2022/44 dated April 04, 2022, as may be  
 updated from time to time, & I agree to the below four points.

S.No	Purpose	Signature of Client		
		First Holder	Second Holder	Third Holder
1.	I/We agree and permit Chandrakala to transfer any securities held in my beneficial owner account towards any Exchange (any SEBI Recognised Exchanges where Chandrakala is a member) related deliveries / settlement obligations arising out of trades executed by me/us on the Exchanges through Chandrakala;			
2.	I/We agree and confirm to allow pledging / re-pledging of securities in favour of Chandrakala and the clearing member (CM) with whom Chandrakala is a member of, for the purpose of meeting my/our margin requirements in connection with the trades executed by me/us on the Exchanges.			
3	I/We agree and confirm to allow Mutual Fund transactions being executed on StockExchange order entry platforms.			
4	I/We agree and confirm to allow Tendering shares in open offers through StockExchange platforms			

### Annexure B


Dated on this \_\_\_\_\_ day of \_\_\_\_\_







In case of HUF: Coparceners Signature

i) \_\_\_\_\_

ii) \_\_\_\_\_

iii) \_\_\_\_\_

Witness:

Signature: \_\_\_\_\_

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

Address: \_\_\_\_\_

\_\_\_\_\_

Please fill in ENGLISH and in BLOCK LETTERS with black ink

**A. Identity Details (Please see guidelines overleaf.)**

1. **Name of the Applicant** Please write complete name as per Certificate of Incorporation. Registration number (do not blank between 2 words, please do not miss the name)

2.	Date of Incorporation	DD/MM/YYYY
	Place of Incorporation	
3.	Registration No. (e.g. CIN)	
	Date of commencement of business	DD/MM/YYYY
4.	Status Please tick (✓)	<input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust / Charities / NGO
	FI    FI    HUF    ACP    Bank    Government Body    Non-Government Organisation    Defence Establishment	
	Body of Individuals    Society    LLP    Others	
5.	Permanent Account Number (PAN) (MANDATORY)	Please enclose a duly signed copy of PAN card.

PHOTOGRAPH

Please affix  
the recent passport  
size photograph and  
sign across it

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**B. Address Details (Please see guidelines overleaf)**

- ### 1. Address of Correspondence

City/Town/Village \_\_\_\_\_ Postal Code \_\_\_\_\_  
 State \_\_\_\_\_ Country \_\_\_\_\_

- ## 2. Contact Details

Tel (Off.)	Tel (Res.)
Mobile	Fix
E-mail ID	

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid document & tick (✓) against the document attached.

\* Latest Telephone Bill (Only Land Line) \* Latest Electricity Bill \* Latest Bank Account Statement \* Registered Lease / Sale Agreement of Office Premises  
Any other proof of address document (as listed overleaf)

\* Not more than 3 months old. Validity/Expiry date of proof of address submitted

- 4 Registered Address (If different from above)

City/Town/Village		Country		Postal Code
State				

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid document & tick (✓) against the document attached

\* Latest Telephone Bill (Only Land Line) \* Latest Electricity Bill \* Latest Bank Account Statement \* Registered Lease / Sale Agreement of Office Premises  
Any other kind of address document (as listed overhead)

\* Not more than 3 months old. Validity/Expiry date of proof of address submitted

C. New Other Details (Please see guidelines overleaf)

1. Gross Annual Income Details Please tick (✓) Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac 25 Lac-1 Crore > 1Crore

2. Net-Worth in ₹ RR-01 (data)

3. Name, PAN, DIN/URD, residential address and photographs of Promoters/Partners/Karta/Trustees/Whole time directors

(Please use the Anmerkungen to fill in the details)

4. Is the entity involved in providing any of the following services? YES NO

- For Foreign Exchange/Money Changer Services	YES	NO	- Gaming/Gambling/Lottery Services (e.g.) casinos, betting syndicates)	YES	NO
---	-----	----	--	-----	----

- Money Lending / Pawnshop	YES	NO
----------------------------	-----	----

5. Any other Information :

## DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein immediately, in case 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.

NAME & SIGNATURE (S)  
OF AUTHORISED  
PERSON (S)

Page

D=11

FOR OFFICE USE ONLY

(Originals verified) self-Certified Document copies received  
(Attested) True copies of documents received

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities Authorized for attesting the documents, as per the below mentions/ list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, Then Proofs for both have to be submitted.
- Self promoter must make the application in his individual name & capacity.
- For non-residents and foreign nationals (allowed to trade subject to RBI and FEMA guidelines), copy of passport, PIO Card/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional, and in the absence of CIN no. For the directors, their passport copy should be given.
- In case of Merchant Navy NREs, Mariner's declaration or certified copy of CEC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Marriage certificate issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government / judicial/military officials, senior executives of state owned corporations, important political party officials, etc.

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

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

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

- (\*Documents having an expiry date should be valid on the date of submission.)
- Passport/Voter Identity Card/ Ration Card / Registered Lease or Sale Agreement of Residence/Driving License / Flat Maintenance bill/Insurance Copy

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

### D. Exemptions/clarifications to PAN

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

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

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

- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Bank (Name, Designation & Seal should be affixed on the copy)
- In case of NREs, 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 :

Type of Entity	Documentary Requirements
<b>Corporate</b>	<p>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</p> <p>Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of (SEBI) Whistle Blower Regulations, duly certified by the company secretary/Whole time Director/MD (to be submitted every year).</p> <p>Photograph, POI, POA, PAN and DIN numbers of whole time director/directors in charge of day to day operations.</p> <p>Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</p> <p>Copy of the Memorandum and Articles of Association and certificate of incorporation.</p> <p>Copy of the Board Resolution for movement in securities market.</p> <p>Authorized signatures list with specimen signatures.</p>
<b>Partnership Firm</b>	<p>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</p> <p>Certificate of registration (for registered partnership firms only).</p> <p>Copy of partnership deed.</p> <p>Authorized signatures list with specimen signatures.</p> <p>Photograph, POI, POA, PAN of Partners.</p>
<b>Trust</b>	<p>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</p> <p>Certificate of registration (for registered trust only).</p> <p>Copy of Trust deed.</p> <p>List of trustees certified by managing trustee/CA.</p> <p>Photograph, POI, POA, PAN of Trustees.</p>
<b>HUF</b>	<p>POI of HUF.</p> <p>Deed of declaration of HUF/Let of coparceners.</p> <p>Bank pass-book/Current statement in the name of HUF.</p> <p>Photograph, POI, POA, PAN of Karta.</p>
<b>Unincorporated Association or a Body of Individuals</b>	<p>Proof of Existence/Constitution document.</p> <p>Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</p> <p>Authorized signatures list with specimen signatures.</p>
<b>Banks / Institutional Investors</b>	<p>Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</p> <p>Authorized signatures list with specimen signatures.</p>
<b>Foreign Institutional Investors (FII)</b>	<p>Copy of SEBI registration certificate.</p> <p>Authorized signatures list with specimen signatures.</p>
<b>Army / Government Bodies</b>	<p>Self-declaration on affidavit.</p> <p>Authorized signatures list with specimen signatures.</p>
<b>Registered Society</b>	<p>Copy of Registration Certificate under Societies Registration Act.</p> <p>List of Managing Committee members.</p> <p>Committee resolution for persons authorized to act as authorized signatures with specimen signatures.</p> <p>True copy of Society Rules and By Laws certified by the Chairman/Secretary.</p>



# **Details of Promoters / Partners / Karta / Trustees and Whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals**

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

Sr. No.	PAN	Name	DIN (For Directors)/ UID (for Others)	Residential Registered Address	Relationship with Applicant (i.e. promoters/ whole time directors etc.)	Whether Politically Exposed	Photograph
						PEP RPEP NO	
						PEP RPEP NO	
						PEP RPEP NO	
						PEP RPEP NO	
						PEP RPEP NO	

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

PEP : Politically Exposed Person RPEP : Related to Politically Exposed Person

## DECLARATION BY KARTA AND ALL CO-PARCENERS IN HUF ACCOUNT

To,

Chandrakala Broking Services Pvt. Ltd.  
GANGASHAHAR  
Bikaner (Raj.)

With regard to Trading Account ..... maintained in the name .....  
..... address .....

We the following members, being the co-parceners in the HUF account do here by give our consent that the said Karta, viz ..... would operate above mentioned BO/Trading account as far as shares transaction of the HUF account is concerned.

We further declare and authorize you to recognize the beneficiary account no. .... with depository ..... opened in the name of the undersigned who is the Karta of the HUF for the purpose of completing the share transfer obligation pursuant to the trading operations. We agree and understand that this is to facilitate the operation of above trading account. The transfer made in the above beneficiary account shall be to complete discharge of obligation in respect of traders executed in the above trading account.

### Details of HUF and all its co-parceners

S.No.	Name of Member	Date of Birth	Gender	Relationship with Karta	Signature

I here by state that details mentioned above are true and any change would be intimated in writing.

Title of HUF .....

Signature of Karta  
(With HUF stamp)

## 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' &amp; '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)				
Maiden Name				
Father / Spouse Name				
Mother Name				
Date of Birth*				
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"/> Others (ISO 3166 Country Code: )			
PAN*	<input type="checkbox"/> Form SO 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  
☐ G- KYC Authentication  
☐ H- Offline verification of Aadhaar

PHOTO\*



## Address

Line 1*				
Line 2				
Line 3				
District*			City / Town / Village*	
		Pin / Post Code*	State / U.T Code*	ISO 3166 Country Code*

## 1.3 CURRENT ADDRESS DETAILS (Please refer instruction E and 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  
☐ G- KYC Authentication  
☐ H- Offline verification of Aadhaar  
☐ I- Deemed PoA  
☐ J- Self Declaration

Address										
Line 1*										
Line 2*										
Line 3*										
District*				Pin / Post Code*			City / Town / Village*		State / U.T Code*	ISO 3165 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. APPLICANT 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 misrepresenting, I am aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date:   -   -     Place:

Signature / Thumb impression of Applicant

#### 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

Date:   -   -

Emp. Name:

Emp. Code:

Emp. Designation:

Emp. Branch:

(Employee Signature)

##### INSTITUTION DETAILS

Name:

Code:

(Institution Stamp)

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

(Mandatory for ALL students enrolled)

## Activity Proof - 2 (For Sale Proprietorship Only)

## ISO 3166 Country Code\*

(Please refer instruction E at the end.)



- Expected Outcome:** Improvement of Anterior-posterior

[illegible]

### INSTITUTION DETAILS

### Code

Emp. Branch

# CHANDRAKALA BROKING SERVICES PVT. LTD.

## FATCA-CRS DECLARATION FORM NON-INDIVIDUAL

1) Name of the Entity\*

2) Existing Customer\* ☐ If Yes, Customer ID \_\_\_\_\_

3) Address for Tax purpose\* ☐ Communication ☐ Registered ☐ other ☐ If other, fill address details below:

4) Other Address:

City \_\_\_\_\_ State \_\_\_\_\_ Country \_\_\_\_\_ Pin code \_\_\_\_\_

5) Address type for tax purpose\* ☐ Residential ☐ Business ☐ Registered Office

6) PAN\* ☐ OR ☐ FORM 60/61

7) Date of Incorporation\*: \_\_\_\_\_ (in DD/MM/YYYY format) (Mandatory if valid PAN is not reported)

8) Country of Incorporation\*: \_\_\_\_\_ 9) City of Incorporation\*: \_\_\_\_\_

10) Identification type and Identification Number (if TIN or US GIN not provided)\*: Company Identification Number \_\_\_\_\_ Global Entity Identification Number \_\_\_\_\_ Other (please specify & provide) \_\_\_\_\_

11) Issuing country for identification number provided in (10) above\* \_\_\_\_\_

12) Please tick the applicable tax resident declaration\*: (Any one)

☐ Entity is a tax resident of India and not resident of any other country OR

☐ Entity is a tax resident of the country/ies mentioned in the table below

Please indicate the country/ies in which the entity is a resident for tax purposes and the associated Tax ID Number below:

Country	Tax Identification Number*	Identification Type (TIN or Other*, please specify)

\* In case Tax Identification Number is not available, kindly provide functional equivalent<sup>§</sup>

In case the Entity's Country of Incorporation/Tax residence is U.S. but Entity is not a specified U.S. Person, Mention Entity's exemption code here: \_\_\_\_\_

<b>Part A (to be filled by Financial Institutions or Direct Reporting NFEs)</b>			
1	We are a Financial institution <sup>1</sup> or Direct reporting NFE <sup>2</sup> (please tick as appropriate)	GIN: _____  Note: If you do not have a GIN but you are sponsored by another entity, please provide your sponsor's GIN above and indicate your sponsor's name below:  Name of sponsoring entity: _____	GIN not available (please tick as applicable): <b>Applied for</b> Following options available only for Financial Institutions: <b>Not required to apply for</b> (Please specify sub-category*) Please provide with Form W8-BEN-E, duly filled in <b>Not obtained - Non-participating FI</b>

<b>Part B (to be filled by NFEs other than Direct Reporting NFEs - please fill any one as appropriate)</b>	
1	<div style="display: flex;"> <div style="width: 35%; padding-right: 10px;">           Is the Entity a publicly traded company<sup>3</sup> (that is, a company whose shares are regularly traded on an established securities market)         </div> <div>           Yes            (If yes, please specify any one stock exchange upon which the stock is regularly traded)             Name of the stock exchange: _____         </div> </div>
2	<div style="display: flex;"> <div style="width: 35%; padding-right: 10px;">           Is the Entity a related entity of a publicly traded company<sup>4</sup> - a company whose shares are regularly traded on an established securities market         </div> <div>           Yes            Name of the listed company, the stock of which is regularly traded: _____            (If yes, please specify any one stock exchange upon which the stock is regularly traded)            Name of the stock exchange: _____            Nature of relation:  <input type="checkbox"/> Subsidiary of the listed company  <input type="checkbox"/> Controlled by a listed company         </div> </div>
3	<div style="display: flex;"> <div style="width: 35%; padding-right: 10px;">           Is the Entity an active NFE<sup>5</sup> </div> <div>           Yes            Nature of business: _____            Please specify the sub-category of Active NFE: _____            (Mention code - refer 2c of Part D)         </div> </div>
4	<div style="display: flex;"> <div style="width: 35%; padding-right: 10px;">           Is the Entity a passive NFE<sup>6</sup> </div> <div>           Yes            Nature of business: _____         </div> </div>

<sup>1</sup> Refer 3(VII) of Part D <sup>2</sup> Refer 1 of Part D <sup>3</sup> Refer 3(VII) of Part D <sup>4</sup> Refer 1 A. of Part D <sup>5</sup> Refer 2a of Part D <sup>6</sup> Refer 2b of Part D <sup>7</sup> Refer 2c of Part D

\*Refer 3(II) of Part D

\*Mandatory field

**Part C (to be filled only by Passive NFEs)**

Please list below the details of each controlling person(s)<sup>1</sup>, confirming ALL countries of tax residency/ permanent residency/ citizenship and ALL Tax Identification Numbers for EACH controlling person. (Please attach additional sheets if necessary)

Sole proprietor to fill up atleast one controlling person details:

Owner-documented FFI's<sup>2</sup> should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN-E

Name

Existing Customer: If Yes, Customer ID:

Address for tax purpose

Landmark

City

Pin code

State

Country

Mobile No.

Tel. No.(R)

% of beneficial interest

Controlling person type code<sup>3</sup>

Please tick the applicable tax resident declaration: (Any one)

☐ I am a tax resident of india and not resident of any other country or ☐ I am a tax resident of the country/ies mentioned in the table below

Country

Tax Identification Number%

Identification Type (TIN or Other%, please specify)

Date of Birth

Gender

Minor

Married

PAN\*\*\*

Or

FORM 60/61

Father's Name (if PAN not available)

**Additional details to be filled below by controlling persons having tax residency/permanent residency/citizenship in any country other than India including green card holders and sole proprietor irrespective of foreign tax residency/permanent residency/citizenship:**

City of Birth

Country of Birth

Occupation Type: Service Business others: Nationality

Address type for address mentioned above: Residential Business Registered office

Identification Type (Documents submitted as proof of identity of the individual)@

Identification number: \_\_\_\_\_

Spouse's name (optional)

Aadhaar Number (optional)

☐ Refer 3 (IV) of Part D ☐ Refer 3(VI) of Part D ☐ Refer 3(IV) (A) of Part D

<sup>1</sup>To include US, where controlling person is a US citizen or green card holder

@ Permissible values are:

- |                       |                    |
|-----------------------|--------------------|
| 01 Passport           | 05 Driving License |
| 02 Election ID card   | 06 UIDAI Letter    |
| 03 PAN card           | 07 NREGA job card  |
| 04 Government ID card | 08 Others          |

Name

Existing Customer: If Yes, Customer ID:

Address for tax purpose

Landmark

City

Pin code

State

Country

Mobile No.

Tel. No.(R)

% of beneficial interest

Controlling person type code<sup>3</sup>

Please tick the applicable tax resident declaration: (Any one)

☐ I am a tax resident of india and not resident of any other country or ☐ I am a tax resident of the country/ies mentioned in the table below

Country

Tax Identification Number%

Identification Type (TIN or Other%, please specify)

Date of Birth

Gender

Minor

Married

PAN\*\*\*

Or

FORM 60/61

Father's Name (if PAN not available)

**Additional details to be filled below by controlling persons having tax residency/permanent residency/citizenship in any country other than India including green card holders and sole proprietor irrespective of foreign tax residency/permanent residency/citizenship:**

City of Birth

Country of Birth

Occupation Type:

Service

Business

Others

Nationality

Address type for address mentioned above

Residential

Business

Registered office

Identification Type (Documents submitted as proof of identity of the individual)@

Identification number

Spouse's name (optional)

Aadhaar Number (optional)

\*\*Refer 3(IV) (A) of Part D

Name

Existing Customer

If Yes, Customer ID

Address for tax purpose

Landmark

City

Pin code

State

Country

Mobile No.

Tel. No./R)

% of beneficial interest

Controlling person type code\*\*

Please tick the applicable tax resident declaration: (Any one)

I am a tax resident of India and not resident of any other country

or

I am a tax resident of the country/ies mentioned in the table below

Country

Tax Identification Number%

Identification Type [TIN or Other%, please specify]

Date of Birth

Gender

Minor

Married

PAN\*\*\*

Or

FORM 60/61

Father's Name (if PAN not available)

**Additional details to be filled below by controlling persons having tax residency/permanent residency/citizenship in any country other than India including green card holders and sole proprietor irrespective of foreign tax residency/permanent residency/citizenship:**

City of Birth

Country of Birth

Occupation Type:

Service

Business

Others

Nationality

Address type for address mentioned above

Residential

Business

Registered office

Identification Type (Documents submitted as proof of identity of the individual)@

Identification number

Spouse's name (optional)

Aadhaar Number (optional)

\*\*Refer 3(IV) (A) of Part D

The Central Board of Direct Taxes has notified on 7th August 2015 Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to ask additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies/ withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e. within 30 days. If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

I have understood the information requirements of this Form (read along with the FATCA-CRS Instructions & Definitions under Part D) and hereby confirm that the information provided by me on this Form is True, Correct, and Complete. I also confirm that I have read and understood the FATCA-CRS Terms and Conditions above and hereby accept the same.

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

Signature

Designation: \_\_\_\_\_

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

Place: \_\_\_\_\_

**Branch Declaration:** "We have made best efforts to identify the beneficial owners/controlling persons of the said Company. The details furnished above have been verified from information available through constitutional documents, public domain."

**1. Financial Institution (FI)** - The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.

• **Depository institution** is an entity that accepts deposits in the ordinary course of banking or similar business.

• **Custodial institution** is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where its income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of:

- (i) The three financial years preceding the year in which determination is made; or
- (ii) The period during which the entity has been in existence; whichever is less.

• **Investment entity** is any entity

• That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer:

- (i) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or
- (ii) Individual and collective portfolio management; or
- (iii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;

or

• The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.

An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets if the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:

- (i) the three-year period ending on 31 March of the year preceding the year in which the determination is made; or
- (ii) the period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 - refer point 2c.)

• **Specified Insurance Company:** Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

Non-participating financial institution means a financial institution defined in clause 1 of the said instructions, but does not include:

- (a) An Indian financial institution; or
- (b) other jurisdiction, being a jurisdiction that has in effect an agreement with the United States of America to facilitate the implementation of FATCA (herein after referred to as other partner jurisdiction), financial institution, other than a financial institution treated as a non-participating financial institution pursuant to significant non-compliance of the FATCA agreement (in an agreement between the United States of America and other partner jurisdiction).

#### A. FIs not required to apply for GIIN:

Code	Sub-category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund, a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors, Investment Managers & Executing Brokers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust



09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

Note: For detailed definition and conditions, refer Annexure to Entity forms

Types of NFEs that are regarded as excluded NFE are:

a. Publicly traded company (listed company)	
A company is publicly traded if its stock are regularly traded on one or more established securities markets. (Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)	
b. Related entity of a publicly traded company	
The NFE is a related entity of an entity which is regularly traded on an established securities market.	
c. Active NFE : (is any one of the following):	
<b>Code :</b>	<b>Sub-category</b>
01	Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income.
02	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
07	Any NFE that fulfills all of the following requirements: <ul style="list-style-type: none"> <li>• It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;</li> <li>• It is exempt from income tax in India;</li> <li>• It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</li> <li>• The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and</li> </ul> <p>The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof.</p> <p>Explanation : For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:-            (i) an Investor Protection Fund referred to in clause (23EA);            (ii) a Credit Guarantee Fund Trust for Small Industries referred to in clause (23EB); and            (iii) an Investor Protection Fund referred to in clause (23EC),            of section 10 of Income-tax Act, 1961.</p>

**(II) Related entity**

An entity is a 'related entity' of another entity if either entity controls the other entity, or the two entities are under common control. For this purpose, control includes direct or indirect ownership of more than 50% of the votes and value in an entity.

**(III) Passive NFE**

The term passive NFE means

- (i) any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company; or
- (ii) an investment entity defined in part D1 of these instructions;
- (iii) a withholding foreign partnership or withholding foreign trust;

(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)

**(III) Passive income**

The term passive income includes income by way of:

- (i) Dividends;
- (ii) Interest;
- (iii) Income equivalent to interest;
- (iv) Rents and royalties, other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFE;
- (v) Annuities;
- (vi) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income;
- (vii) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial asset;
- (viii) The excess of foreign currency gains over foreign currency losses;
- (ix) Net income from swaps;
- (x) Amounts received under cash value insurance contracts.

But passive income will not include, in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as such a dealer.

**(IV) Controlling persons**

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money Laundering (Maintenance of Records) Rules, 2005. In the case of a trust, the controlling person means the settlor, the trustee, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, controlling person means persons in equivalent or similar positions.

For Partnership / Limited Liability Partnership (LLP) / Association of Persons (AOP) / Society / Trust / Club / University / Institution:

The declaration should be signed by an active / designated partner in case of Partnership Firm / LLP, a trustee in case of Trust, a senior member in case of AOP / Society, Club and member of the Managing Committee in case of University and Institution.

Pursuant to guidelines on identification of Beneficial Ownership issued vide RBI circular no. DBOD/AML/BC/No.71/14-01/001/2012-13 dated January 18, 2013, persons (other than individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of / entitlements to:

- (i) More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- (ii) More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- (iii) More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settlor of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust (through a chain of control or ownership).

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

<b>(A) Controlling Person (CP) Type:</b>	
<b>Code</b>	<b>Sub-category</b>
C01	CP of legal person-ownership
C02	CP of legal person-other means
C03	CP of legal person-senior managing official
C04	CP of legal arrangement-trust-settlor
C05	CP of legal arrangement-trust-trustee
C06	CP of legal arrangement-trust-protector
C07	CP of legal arrangement-trust-beneficiary
C08	CP of legal arrangement-trust-other
C09	CP of legal arrangement-Other-settlor equivalent
C10	CP of legal arrangement-Other-trustee equivalent
C11	CP of legal arrangement-Other-protector equivalent
C12	CP of legal arrangement-Other-beneficiary equivalent
C13	CP of legal arrangement-Other-other equivalent
C14	CP of legal arrangement-Other-author of Trust
C15	Unknown

**(V) Specified U.S. person – A U.S. person other than the following:**

- (i) a corporation the stock of which is regularly traded on one or more established securities markets;
- (ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- (iii) the United States or any wholly owned agency or instrumentality thereof;
- (iv) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- (v) any organization exempt from taxation under section 501(c) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- (vi) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- (viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- (ix) any common trust fund as defined in section 584(g) of the U.S. Internal Revenue Code;
- (x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (xi) a dealer in securities, commodities, or derivative financial instruments (including national principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- (xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- (xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

**(VI) Owner documented FFI**

An FFI meets the following requirements:

- (i) The FFI is an FFI solely because it is an investment entity;
- (ii) The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company;
- (iii) The FFI does not maintain a financial account for any nonparticipating FFI;
- (iv) The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and
- (v) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 FFI, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.

**(VII) Direct reporting NFE**

A direct reporting NFE means a NFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.

**(VIII) Exemption code for U.S. persons**

Code	Sub-category
A	An organization exempt from tax under section 501(c) or any individual retirement plan as defined in section 7701(a)(37) of Internal Revenue Code
B	The United States or any of its agencies or instrumentalities
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i) of Internal Revenue Code
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i) of Internal Revenue Code
F	A dealer in securities, commodities, or derivative financial instruments (including national principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
G	A real estate investment trust
H	A regulated investment company as defined in section 851 of Internal Revenue Code or an entity registered at all times during the tax year under the Investment Company Act of 1940
I	A common trust fund as defined in section 584(a) of Internal Revenue Code
J	A bank as defined in section 581 of Internal Revenue Code
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1) of Internal Revenue Code
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan of Internal Revenue Code