

NSDL

CDSL

NSE

BSE

MSEI

DGCX

MCX

NMCE

NCDEX

NCDEX-SPOT

IEX

SHARES

COMMODITY

DP

PMS

IPO

E-RETURN

TIN

TPA

.IN, LRA

PHARMACY

INSURANCE

## Client Registration Form Demat & Trading NSDL / CDSL

NAME OF THE CLIENT : \_\_\_\_\_

UNIQUE CLIENT CODE (UCC) : \_\_\_\_\_

DP CLIENT ID : \_\_\_\_\_

CONTROL NO. : \_\_\_\_\_

**Alankit** ASSIGNMENTS LIMITED

CIN : U74210DL1991PLC042569

Corporate Office

Alankit House, 4E/2, Jhandewalan Extension, New Delhi-110 055, India  
Tel. : +91-11-4254 1234, 2354 1234, Fax : +91-11-23552001, 4254 1201

Head Office

Alankit Heights, 1E/13, Jhandewalan Extension, New Delhi - 110 055  
Ph.: 91-11-42541822, 864, 798

Registered Office

205-208, Anarkali Complex, Jhandewalan Extension, New Delhi-110 055, India







## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

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

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

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

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

1. Unique Identification Number (UID) (Aadhaar) / Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale

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

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

### D. Exemptions/clarifications to PAN (\*Sufficient documentary evidence in support of such claims to be collected.)

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

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

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



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

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



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**Alankit ASSIGNMENTS LIMITED****SEBI REGN. NO.**

NSE	Cash	INB230881235	20/02/1996
NSE	F&O	INF230881235	25/05/2000
NSE	CD	INE230881235	26/08/2008
BSE	Cash	INB010881234	26/10/2005
BSE	F&O	INF010881234	06/09/2006
BSE	CD	INE010881234	19/09/2008
MSEI	Cash	INB260881231	26/02/2013
MSEI	F&O	INF260881231	26/02/2013
MSEI	CD	INE260881235	29/09/2008
NSDL	DP	IN-DP-NSDL-14-96	10-09-2012
CDSL	DP	IN-DP-CDSL-43-99	05-11-2014

NSDL DP ID : IN 300118 Alankit Heights, 1E/13, Jhandewalan Extn. New Delhi-110055  
 IN 301160 201-203, K.J. City Tower, Ashok Marg 'C' Scheme, Jaipur-302001  
 IN 301186 Lata Arcade, 1st Floor, 87, Civil Lines, Near Ayub Khan CHauraha, Bareilly-243001

CDSL DP ID : 14100 Alankit Heights, 1E/13, Jhandewalan Extn. New Delhi-110055  
 14101 201-203, K.J. City Tower, Ashok Marg 'C' Scheme, Jaipur-302001

**Regd. Office :**

205-208, Anarkali Complex, Jhandewalan Extn. New Delhi - 110055  
 Phone : +91-11-42541234, 23541234 Fax : +91-11-42541201, 23552001  
 E-mail : info@alankit.com, Website : www.alankit.com

**Corporate Office :**

Alankit House, 4E/2, Jhandewalan Extension, New Delhi-110055 (INDIA)  
 Tel. : +91-11-42541234, 23541234, Fax : +91-11-42541201, 23552001

**Compliance Officer's Details (DP):**

Name : M. C. Agarwal  
 E-mail Id : mcag@alankit.com  
 Phone : +91-11-42541783

**Compliance Officer's Details (TRADING):**

Name : Kumar Rajeev Ranjan  
 E-mail Id : kumarr@alankit.com  
 Phone : +91-11-42541894

**CEO's Details**

Name : Alok Kumar Agarwal  
 E-mail Id : alok@alankit.com  
 Phone : +91-11-42541234

For any grievance/dispute please contact Alankit Assignments Limited at the above address or email id- investor@grievance@alankit.com (DP) | info@alankit.com (TRADING) and phone no. +91-11-42541234. In case not satisfied with the response, please contact the concerned exchanges(s) at

**Exchange Name**

National Stock Exchange of India Ltd.  
 Bombay Stock Exchange Ltd.  
 Metropolitan Stock Exchange of India Limited

**E-mail ID**

ignse@nse.co.in  
 is@bseindia.com  
 investorcomplaints@msei.in

**Phone No.**

1800 2200 58 (Toll Free)  
 022-22728097  
 011-46793800





**Alankit ASSIGNMENTS LIMITED**

Corporate Office : 'Alankit House', 4E/2, Jhandewalan Extension, New Delhi -110055 (INDIA)  
Tel. : +91-11- 42541234, 23541234, Fax : +91-11-42541201,23552001  
E-mail : info@alankit.com Website : www.alankit.com

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

**FOR INDIVIDUAL**

**A. IDENTITY DETAILS**

1. Name of the Applicant	<input type="text"/>	
2. Father's/ Spouse's Name	<input type="text"/>	
3. a) Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	b) Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married
c) Date of Birth	<input type="text"/>	
4. a) Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other Please specify <input type="text"/>	
b) Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non resident <input type="checkbox"/> Foreign National	
5. A) PAN	<input type="text"/>	
	b) Unique Identification Number (UID) /Aadhar, if any <input type="text"/>	
6. Specify the proof of Identity submitted	<input type="checkbox"/> PAN Card <input type="checkbox"/> Any other (Please specify) <input type="text"/>	

Please affix your recent  
passport size photograph

Signature Across  
Photograph

**B. ADDRESS DETAILS**

1. Residence Address	<input type="text"/>	
	City / Town / Village <input type="text"/>	PIN Code <input type="text"/>
	State <input type="text"/>	Country <input type="text"/>
2. Contact Detail	Tel. (Office) <input type="text"/> Tel. (Res.) <input type="text"/> Mobile <input type="text"/>	
	Fax <input type="text"/> E-Mail Id <input type="text"/>	
3. Specify the proof of address submitted for residence address	<input type="text"/>	
4. Permanent Address	<input type="text"/>	
(If different from above or overseas address, mandatory for Non-Resident Applicant)	City / Town / Village <input type="text"/>	PIN Code <input type="text"/>
	State <input type="text"/>	Country <input type="text"/>

**C. DECLARATION**

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

Signature of the Applicant 

Date

**FOR OFFICE USE ONLY**

☐ (Originals verified) True copies of documents received

Name & Signature of the Authorised Signatory

Seal / Stamp of the Intermediary

Date



# KNOW YOUR CLIENT (KYC) APPLICATION FORM



## Alankit ASSIGNMENTS LIMITED

Corporate Office : 'Alankit House', 4E/2, Jhandewalan Extension, New Delhi -110055 (INDIA)

Tel. : +91-11- 42541234, 23541234, Fax : +91-11-42541201,23552001

E-mail : info@alankit.com Website : www.alankit.com

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

**FOR NON-INDIVIDUAL**

### A. IDENTITY DETAILS

1. Name of the Applicant

2. Date of incorporation  -  -  Place of Incorporation

3. Date of Commencement of Business  -  -

4. a) PAN  b) Registration No. (e.g. CIN)

5. Status (Please tick any one)

☐ Private Limited Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust

☐ Charities ☐ NGO's ☐ FI ☐ FII ☐ AOP ☐ HUF ☐ Bank

☐ Government Body ☐ Non-Government Organization ☐ Defense Establishment ☐ BOI ☐ Society

☐ LLP ☐ Other (Please specify)

Please affix your recent  
passport size photograph

Signature Across  
Photograph

### B. ADDRESS DETAILS

1. Correspondence Address

City / Town / Village  PIN Code

State  Country

2. Contact Detail

Tel. (Office)  Tel. (Res.)  Mobile

Fax  E-Mail Id

3. Specify the proof of address submitted for correspondence address

4. Registered Address  
(If different from above)

City / Town / Village  PIN Code

State  Country

### C. OTHER DETAILS

1. Name, PAN, Residential address and photographs of Promoters/Partners/ Karta/ Trustees and whole time directors

2. a) DIN of whole time directors:

b) Aadhaar number of Promoters/Partners/Karta

### 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 of the Authorised Signatory (ies)   Date  -  -

### FOR OFFICE USE ONLY

☐ (Originals verified) True copies of documents received

Name & Signature of the Authorised Signatory

Seal / Stamp of the Intermediary

Date  -  -



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

**Name (1)**

**PAN**

**Residential / Registered Address**

City / Town / Village  PIN Code

State  Country

DIN / UID

Relationship with Applicant (i.e. Promoters, whole time directors etc.)

Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees and whole time directors:

☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed person (PEP)

Photographs of  
Promoters / Partners /  
Karta / Trustees and  
Whole Time Director

**Any Other Information**

**Name (2)**

**PAN**

**Residential / Registered Address**

City / Town / Village  PIN Code

State  Country

DIN / UID

Relationship with Applicant (i.e. Promoters, whole time directors etc.)

Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees and whole time directors:

☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed person (PEP)

Photographs of  
Promoters / Partners /  
Karta / Trustees and  
Whole Time Director

**Any Other Information**

**Name (3)**

**PAN**

**Residential / Registered Address**

City / Town / Village  PIN Code

State  Country

DIN / UID

Relationship with Applicant (i.e. Promoters, whole time directors etc.)

Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees and whole time directors:

☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed person (PEP)

Photographs of  
Promoters / Partners /  
Karta / Trustees and  
Whole Time Director

**Any Other Information**

**Name (4)**

**PAN**

**Residential / Registered Address**

City / Town / Village  PIN Code

State  Country

DIN / UID

Relationship with Applicant (i.e. Promoters, whole time directors etc.)

Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees and whole time directors:

☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed person (PEP)

Photographs of  
Promoters / Partners /  
Karta / Trustees and  
Whole Time Director

**Any Other Information**

**NAME**

**Signature of the Authorised Signatory (ies)** 

**Date**  -  -



**A. BANK ACCOUNT DETAILS**

(Through which transactions will generally be routed)

**Primary Bank Details (for DP and Trading) :**Bank Name : Account No. :  Branch : Address : 11 Digit RTGS / NEFT / IFS Code :  0  9 Digit MICR Code : Account Type : ☐ Savings ☐ Current ☐ OTHERS :  (Please Specify)Pay-Out Option : ☐ Cheque ☐ Online Transfer / NEFT / RTGS☐ Bank/MICR/IFSC proof submitted : ☐ Cancelled Cheque (with **Client Name** & A/c No. **pre-printed**)☐ Bank Passbook\* (If hand written, then with stamp of Bank) ☐ Bank Verification Letter\* (with Rubber Stamp & Sign of Bank Manager)☐ Bank Statement\* (Either on Bank Stationary or with rubber stamp & sign of Bank Manager)*\*Documents should not be more than 3 months old***Secondary Bank Details (for Trading, if any) :**Bank Name : Account No. :  Branch : Address : 11 Digit RTGS / NEFT / IFS Code :  0  9 Digit MICR Code : Account Type : ☐ Savings ☐ Current ☐ OTHERS :  (Please Specify)☐ In case of multiple banks, please provide proof of all banks.**B. DEPOSITORY ACCOUNT DETAILS**

(Through which transactions will generally be routed)

☐ I/We want to open New Demat A/c☐ I/We already have Demat A/c (Please Provide following details)1. Depository Name : ☐ CDSL ☐ NSDL DP ID :  BOID : Name of Depository Participant : Beneficiary Name 2. Depository Name : ☐ CDSL ☐ NSDL DP ID :  BOID : Name of Depository Participant : Beneficiary Name ☐ Demat A/c Proof submitted : ☐ Client Master ☐ Transaction or Holding statement

(with Client Name, PAN, DP &amp; Client ID)

**C. TRADING PREFERENCE**

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

EXCHANGE	SEGMENT			
	CASH	F & O*	CURRENCY*	DEBT
NSE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
BSE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
MSEI	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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



#### D. INCOME DETAILS

Gross Annual Income Detail ☐ Below 1 Lac ☐ 1 - 5 Lac ☐ 5 - 10 Lac ☐ Rs. 10 - 25 Lac ☐ 25 Lac - 1 Crore ☐ > 1 Crore

OR Net-worth in ₹. (\*Net worth should not be older than 1 year) as on (date)                 (Mandatory for Non-Individual Client)

Occupation ☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist  
☐ Retired ☐ Housewife ☐ Student ☐ Forex Dealer ☐ Other  (Please Specify)

Please tick, if applicable ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person

#### E. 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 / authorised persons in charge of dealing in securities during last 3 years.

(Please Specify)

#### F. DEALING THROUGH SUB-BROKER/AP's & OTHER STOCK BROKERS

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

<input type="checkbox"/> Authorised Person	Registration No. <input type="text"/>	Name : <input type="text"/>
<input type="checkbox"/> Sub-Broker	Registration No. <input type="text"/>	PAN : <input type="text"/>
<input type="checkbox"/> Remisier / BDR	Code : <input type="text"/>	Address: <input type="text"/>
		<input type="text"/>
		Pin : <input type="text"/> State : <input type="text"/>
		Phone / Fax : <input type="text"/>
		E-mail / Website : <input type="text"/>

If you are dealing with any other stock broker, please provide following detail

Name of the stock broker	<input type="text"/>
Name of Sub-Broker (If any)	<input type="text"/>
Client Code (UCC)	<input type="text"/>
Exchange	<input type="checkbox"/> NSE <input type="checkbox"/> BSE <input type="checkbox"/> MSEI

Details of disputes / dues pending from / to such stock broker / sub-broker

In case dealing with multiple stock brokers, please provide details of all. (Please Specify)

#### G. ADDITIONAL DETAILS

Whether you wish to receive : ☐ Electronic Contract Note (ECN) ☐ Physical Contract Note

Please mention E-mail ID if applicable

I/We wish to avail facility of internet trading / wireless technology : ☐ Yes ☐ No

Trading Experience / Number of Years of Investment  Years

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 ☐ Others

Any other information :

#### H. INTRODUCER DETAILS (optional)

Name of the Introducer	<input type="text"/>
Status of the Introducer	<input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Other, please specify <input type="text"/>
Address of Introducer	<input type="text"/>
	City / Town / Village <input type="text"/> PIN Code <input type="text"/>
	State <input type="text"/> Country <input type="text"/>
Phone No.	<input type="text"/>
Signature of the Introducer	<input type="text"/>



# DEMAT ACCOUNT OPENING FORM

I/ We request to open a Depository Account under  
**BSDA Scheme** ☐ **OR Normal Scheme** ☐ in my / our name as per the following details.

Date :

I/We request you to open a depository account in my/our name as per the following details  
(Please fill all the details in CAPITAL LETTERS only)

## Details of Account holder(s)

Account holder(s)	Sole/ First Holder	Second Holder	Third Holder
Name			
PAN			
Occupation (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional	<input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify; _____) <input type="checkbox"/> Professional	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional
Brief details:			

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

Name		PAN	
Type of Account	<input type="checkbox"/> Ordinary Resident <input type="checkbox"/> NRI-Repatriable <input type="checkbox"/> NRI-Non Repatriable <input type="checkbox"/> Qualified Foreign Investor <input type="checkbox"/> Foreign National <input type="checkbox"/> Promoter <input type="checkbox"/> Margin <input type="checkbox"/> Body Corporate <input type="checkbox"/> FI <input type="checkbox"/> CM <input type="checkbox"/> Mutual Fund <input type="checkbox"/> FII <input type="checkbox"/> Bank <input type="checkbox"/> Trust <input type="checkbox"/> Others (Please Specify) _____		

## In case of NRIs/ Foreign Nationals

RBI Approval Reference Number	
RBI Approval date	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

## In case of FIIs/Others (as may be applicable)

RBI Approval Reference No.		RBI Approval Date	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
SEBI Registration Number (for FIIs)			

## Clearing Member Details (to be filled up by Clearing Members only)

Name of Stock Exchange	
Name of Clearing Corporation/Clearing House	
Clearing Member ID	
SEBI Registraton No.	
Trade Name	
CM-BP-ID (to be filled up by Participant)	

## DETAILS OF GUARDIAN

In case the account holder is minor

Name of Guardian (Mr. / Mrs / Ms.) :	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Relationship :	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
PAN :	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>



**ADDITIONAL DETAILS**

**Account statement requirement** ☐ As per SEBI Regulation ☐ Monthly ☐ Fortnightly ☐ Weekly ☐ Daily

**I/We instruct the DP to receive each and every credit in my / our account** ☒ Yes ☐ No

**I/We wish to receive dividend/interest directly into my/our Bank A/c through ECS**  
(If not marked, the default option would be 'Yes'. ECS is mandatory for locations notified by SEBI from time to time.) ☐ Yes ☐ No

**I/We request you to send Electronic Transaction-Cum-Holding Statement through E-mail**  
Please mention E-mail ID in KYC form (Page A1-Individual / A3-Non-Individual) ☐ Yes ☐ No

**SMS Alert Facility** on Mobile Number as given in KYC Form ☐ Yes ☐ No  
Refer to T&C given as **Annexure-B** (Mandatory, If you have given PoA. If POA is not granted and you do not wish to avail of this facility, cancel this option)

**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, default option will be 'No') ☐ Yes ☐ No

**I/We would like to share the E-mail ID with the RTA.** ☐ Yes ☐ No

**I/We would like to receive the annual report** (If not marked, default option will be 'Physical') ☐ Physical ☐ Electronic

**Account to be opened through Power of Attorney** ☐ Yes ☐ No

**Declaration - Same Mobile Number or Email Address**

[Please tick (✓) wherever applicable]

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

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



**Transactions Using Secured Texting Facility (TRUST)**☐ Yes☐ No

I / We wish to avail the TRUST facility using the mobile number registered for SMS alert facility. I have read and understood the Terms & Conditions prescribed by CDSL for the same. (Refer to T&C given below)

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

Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)
NSE	ALANKIT ASSIGNMENTS LIMITED	
BSE	ALANKIT ASSIGNMENTS LIMITED	
MSEI	ALANKIT ASSIGNMENTS LIMITED	

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




## 1. Definitions:

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

- "Depository" means Central Depository Services (India) Limited (CDSL)
  - TRUST means "Transactions Using Secured Texting" service offered by the Depository.
  - "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.
  - "Service" means the service of providing facility to receive/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.
  - "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
- 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.
  - 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.
  - 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 messages 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.
  - 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.
  - 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.
  - 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.
  - 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.
  - 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 transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
  - 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.
  - 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.
  - 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.
  - Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
  - 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.
  - 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.
  - 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 not originated by him.
  - Indemnity: In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, 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.
  - Disclaimer:  
Depository shall be absolved of any liability in case:-
    - There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
    - 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.
    - There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

**DECLARATION**

I/We have received and read the Rights & Obligations document and 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 agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. 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 Holder / Authorised Signatory	Second Holder / Authorised Signatory	Third Holder / Authorised Signatory
Designation			
Signature			

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



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

### Definitions:

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

- "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.
- DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
- 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.
- SMS means "Short Messaging Service"
- "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
- "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.
- "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

### Availability:

- 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.
- The service is currently available to the BOs who are residing in India.
- 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.
- 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.
- 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:

- 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 the 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.
- 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.
- 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.
- 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.

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

BOID 

1	2	0															
---	---	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

 (Please write your 8 digit DPID) 

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

 (Please write your 8 digit Client ID)




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)

CLIENT SIGNATURE			
	First / Sole Holder	Second Holder	Third Holder
Sign of Client			

- 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.
- 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. 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.
- 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.
- 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.
- If the BO finds that the information such as mobile number etc., has been changed with out 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 ISINs 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.



## NOMINATION FORM FOR DEMAT & TRADING ACCOUNT




<input type="checkbox"/> I/We wish to make a nomination [As per details given below]	<input type="checkbox"/> I/We do not wish to make a nomination [Strike off the nomination details below]
---	---

### NOMINATION DETAILS

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me / us in the said beneficiary owner account in the event of my / our death.

Nomination can be made upto three nominees in the account.		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1	Name of the nominee(s) (Mr./Ms.)			
2	Share of each Nominee <span style="margin-left: 20px;">Equally <input type="checkbox"/></span> <small>[If not equally, please specify percentage]</small>	%	%	%
		Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
3	Relationship With the Applicant (If Any)			
4	Address of Nominee(s)			
	PIN Code			
5	Mobile/Telephone No. of Nominee(s)			
6	Email ID of Nominee(s)			
7	Nominee Identification details : [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature	Photograph of 1st nominee  <div style="border: 1px solid black; padding: 5px; transform: rotate(-10deg); display: inline-block;">Signature of Nominee across photograph</div>	Photograph of 2nd nominee  <div style="border: 1px solid black; padding: 5px; transform: rotate(-10deg); display: inline-block;">Signature of Nominee across photograph</div>	Photograph of 3rd nominee  <div style="border: 1px solid black; padding: 5px; transform: rotate(-10deg); display: inline-block;">Signature of Nominee across photograph</div>
	<input type="checkbox"/> PAN			
	<input type="checkbox"/> Aadhaar			
	<input type="checkbox"/> Saving Bank Account No.			
	<input type="checkbox"/> Proof of Identity			
	<input type="checkbox"/> Demat Account ID			
<b>Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:</b>				
8	Date of Birth {in case of minor nominee(s)}	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y
9	Name of Guardian (Mr./Mrs.) {in case of minor nominee(s)}			
10	Address of Guardian			
	PIN Code			
11	Mobile/Telephone No. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with Nominee			






<b>14 Guardian Identification details :</b>  [Please tick any one of following and provide details of same]  <input type="checkbox"/> Photograph & Signature	Photograph of 1st Guardian  <div style="border: 1px solid black; padding: 5px; transform: rotate(-5deg); display: inline-block;">Signature of Guardian across photograph</div>										Photograph of 2nd Guardian  <div style="border: 1px solid black; padding: 5px; transform: rotate(-5deg); display: inline-block;">Signature of Guardian across photograph</div>										Photograph of 3rd Guardian  <div style="border: 1px solid black; padding: 5px; transform: rotate(-5deg); display: inline-block;">Signature of Guardian across photograph</div>									
	Signature										Signature										Signature									
	<input type="checkbox"/> PAN																													
	<input type="checkbox"/> Aadhaar																													
	<input type="checkbox"/> Saving Bank Account No.																													
	<input type="checkbox"/> Proof of Identity																													
<input type="checkbox"/> Demat Account ID																														
<div> <div>Name(s) of Holder(s)</div> <div>Signature(s) of holder</div> </div>																														
Sole/ First Holder/ Guardian (in case sole holder is minor) (Mr./Ms.)																														
Second Holder (Mr./Ms.)																														
Third Holder (Mr./Ms.)																														
Signature of Witness for Nomination																														
Name of the Witness					Address															Signature of Witness										
																				<div>Date</div> <div> <div>D</div> <div>D</div> <div>M</div> <div>M</div> <div>Y</div> <div>Y</div> <div>Y</div> <div>Y</div> </div>										

## DECLARATION

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/ we are aware that I/we may be held liable for it. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/ we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

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.

I/ We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/ We do hereby agree to be bound by such provisions as outlined in these documents. I/ We have also been informed that the standard set of documents has been displayed for information on stock broker's designated website, if any.

	Name(s) of holder(s)										Signature(s) of holder																
First / Sole Holder / Authorised Signatory																											
Second Holder / Authorised Signatory																											
Third Holder / Authorised Signatory																											
Date :										D	D	M	M	2	0	Y	Y	Place :									



## NOTES

- All communication shall be sent at the address of the Sole / First holder only.
- In case of additional signatures, separate annexures should be attached to the application form.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- Instructions related to nomination, are as below:
  - The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
  - A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
  - The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
  - Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
  - Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
  - The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
  - On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
  - Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
  - On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
  - Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
  - Savings bank account details shall only be considered if the account is maintained with the same participant.
  - DP ID and client ID shall be provided where demat details is required to be provided.
- For receiving Statement of Account in electronic form:
  - Client must ensure the confidentiality of the password of the email account.
  - Client must promptly inform the Participant if the email address has changed.
  - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- Strike off whichever is not applicable.
- In case applicant wish to apply for BSDA/RGESS services, he/she shall submit additional request form as prescribed by regulatory authority from time to time.

## FOR OFFICE USE ONLY

DP Client ID											Trading Code (UCC)																			
	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 Procedures', tariff sheet and all the non-mandatory documents. I / We have also made the client aware of 'Right and Obligations' 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 'Rights 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 ITR
- In case of salary income - Salary Slip, Copy of Form 16
- Copy of demat account holding statement
- Any other relevant documents substantiating ownership of assets
- Copy of Annual Accounts
- Net worth certificate
- Bank account statement for last 6 months
- 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 letter head) naming the persons authorized to deal in securities on behalf of company / firm / others and their specimen signatures.







[illegible]

☐ Same as Current / Permanent / Overseas Address details
 ☐ Same as Correspondence / Local Address details

Line 1\*

Line 2

Line 3

State\*

City / Town / Village\*

ZIP / Post Code\*

ISO 3166 Country Code\*


[illegible][illegible]

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

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

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

Date :    -    -      
 Place :


 Signature / Thumb Impression of Applicant

Documents Received		KYC VERIFICATION CARRIED OUT BY		INSTITUTION DETAILS	
<input type="checkbox"/> Certified Copies		Date: <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> - <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> - <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> Emp. Name: <input style="width: 100%;" type="text"/> Emp. Code: <input style="width: 100%;" type="text"/> Emp. Designation: <input style="width: 100%;" type="text"/> Emp. Branch: <input style="width: 100%;" type="text"/>		Name: <input style="width: 100%;" type="text"/> Code: <input style="width: 100%;" type="text"/> <div style="border: 1px solid black; height: 100px; margin-top: 10px; display: flex; align-items: center; justify-content: center;"> <div style="border: 1px solid black; padding: 5px;">[Institution Stamp]</div> </div>	
		<div style="border: 1px solid black; height: 60px; display: flex; align-items: center; justify-content: center;"> <div style="border: 1px solid black; padding: 5px;">[Employee Signature]</div> </div>			



**General Instructions:**

- 1 Fields marked with '\*' are mandatory fields.
- 2 Tick '✓' wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- 6 Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
- 9 In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

**A Clarification / Guidelines on filling 'Personal Details' section**

- 1 **Name:** Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Either **father's name** or **spouse's** name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

**B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India**

- 1 **Tax identification Number (TIN):** TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

**C Clarification / Guidelines on filling 'Proof of Identity [Pol]' section**

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- 3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

**D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section**

- 1 PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

**E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section**

- 1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- 2 In case of multiple correspondence / local addresses, Please fill '**Annexure A1**'

**F Clarification / Guidelines on filling 'Contact details' section**

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

**G Clarification / Guidelines on filling 'Related Person details' section**

- 1 Provide KYC number of related person if available.

**H Clarification / Guidelines on filling 'Related Person details – Proof of Identity [Pol] of Related Person' section**

- 1 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.



## List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

## List of ISO 3166 two- digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		



**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Correspondence / Local Address**

A) Fields marked with "\*" are mandatory fields.  
B) Please fill the form in English and in BLOCK letters.  
C) Please fill the date in DD-MM-YYYY format.  
D) Please read section wise detailed guidelines / instructions at the end.

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

☐ New    ☐ Update

(To be filled by financial institution)

KYC Number

(Mandatory for KYC update request)

☐ Same as Current / Permanent / Overseas Address details

Line 1\*

Line 2

Line 3

[illegible]

City / Town / Village\*

[illegible]

District\*

[illegible]

Pin / Post Code\*

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

State / U.T Code\*

--	--

ISO 3166 Country Code\*

--	--

## Tel. (Off)

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

Tel. (Res)

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

Mobile

[illegible]

FAX

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

Email ID

[illegible]

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

Date : 

D	D
---	---

 - 

M	M
---	---

 - 

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

[illegible]

Signature / Thumb Impression of Applicant



**Annexure B1****CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Related Person****Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.  
 B) Please fill the form in English and in BLOCK letters.  
 C) Please fill the date in DD-MM-YYYY format.  
 D) Please read section wise detailed guidelines / instructions at the end.

- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 F) List of two character ISO 3166 country codes is available at the end.  
 G) KYC number of applicant is mandatory for update application.  
 H) For particular section update, please tick (✓) in the box available before the section number and strike of the sections not required to be updated.

**For office use only**

Application Type\*

☐ New ☐ Update

(To be filled by financial institution)

KYC Number

(Mandatory for KYC update request)

**1. DETAILS OF RELATED PERSON** (Please refer instruction G at the end)☐ Addition of Related Person ☐ Deletion of Related Person

KYC Number of Related Person (if available\*)

Related Person Type\*

☐ Guardian of Minor☐ Assignee☐ Authorized Representative

Prefix

First Name

Middle Name

Last Name

Name\*

(If KYC number and name are provided, below details of section 1 are optional)

**PROOF OF IDENTITY (PoI) OF RELATED PERSON\*** (Please see instruction (H) at the end)☐ A- Passport Number
                    

Passport Expiry Date

    -     -             
☐ B- Voter ID Card
                    
☐ C- PAN Card
                    
☐ D- Driving Licence
                    

Driving Licence Expiry Date

    -     -             
☐ E- UID (Aadhaar)
                    
☐ F- NREGA Job Card
                    
☐ Z- Others (any document notified by the central government)
                    

Identification Number

                    
☐ S- Simplified Measures Account - Document Type code
                    

Identification Number

                    
**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 misleading or misrepresenting, I am aware that I may be held liable for it.

Date :     -     -             Place :                     

Signature / Thumb Impression of Applicant

**3. ATTESTATION / FOR OFFICE USE ONLY****Documents Received**☐ Certified Copies**KYC VERIFICATION CARRIED OUT BY**

Date

    -     -           

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

**INSTITUTION DETAILS**

Name

Code

[Institution Stamp]



## FATCA & CRS DECLARATION (FOR INDIVIDUAL)

Do you have any non-indian Country(ies) of Birth / Citizenship / Nationality and Tax Residency? ☐ Yes ☐ No

Sole/First Holder/Guardian <input type="checkbox"/> Yes <input type="checkbox"/> No		Second Holder <input type="checkbox"/> Yes <input type="checkbox"/> No		Third Holder <input type="checkbox"/> Yes <input type="checkbox"/> No	
Country of Birth		Country of Birth		Country of Birth	
Country of Citizenship/ Nationality		Country of Citizenship/ Nationality		Country of Citizenship/ Nationality	
Are you a US Specified Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No Please provide Tax Payer Id	Are you a US Specified Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No Please provide Tax Payer Id	Are you a US Specified Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No Please provide Tax Payer Id
Country of Tax Residency* (Other then India)	Taxpayer Identification No.	Country of Tax Residency* (Other then India)	Taxpayer Identification No.	Country of Tax Residency* (Other then India)	Taxpayer Identification No.
1.		1.		1.	
2.		2.		2.	
3.		3.		3.	

\*Please indicate all countries in which you are a resident for tax purpose and associated Taxpayer identification number.

### FATCA - CRS Terms and Conditions

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Alankit Assignments Ltd. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

**Signatures**



\_\_\_\_\_  
Sole/First Holder Signature



\_\_\_\_\_  
Second Holder Signature



\_\_\_\_\_  
Third Holder Signature



## 1. Refusal of orders for penny/ illiquid stock

The stock broker may from time to time limit (quantify/value)/ refuse order in one or more securities due to various reasons including market liquidity, value of security(ies), the order being for securities which are not in the permitted list of the stock broker / exchange(s) / SEBI. Provided further that stock broker may require compulsory settlement / advance payment of expected settlement value/ delivery of securities for settlement prior to acceptance / placement of order(s) as well.

The client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client alone.

The stock broker may require reconfirmation of orders, which are larger than that specified by the stock broker's risk management, and is also aware that the stock broker has the discretion to reject the execution of such orders based on its risk perception.

## 2. Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client

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 client to a review before its entry into the trading systems 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.

- a. For Non-Payment or erosion of margins or other amounts, outstanding debts, etc. & adjust the proceeds of such liquidation / close out if any, against the client's liabilities / obligations.
- b. Any order which is executed without the required margin in client's account or the broker's exposure is more than 90% and above so no fresh trade will be taken.
- c. The client hereby authorized the stock broker to square-up all his outstanding positions at the discretion of the stock broker, which are not marked for delivery, 15 minutes before the closing time of the normal market or if the client's margin is evaporated by 90% in any of the exchange(s). Alankit reserves the right to square off positions.
- d. Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security due to any action on account of unusual trading activity or stock hitting circuit filter or many other reason as prescribed or instructed by SEBI.

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.

The stock broker is required only to communicate/ advise the parameters for the calculation of the margin / security requirements as rate(s) / percentage(s) of the dealings through anyone or more means or methods such as post /speed post / courier / registered post / registered A.D. /facsimile / telegram / cable / e-mail / voice mails / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the stock broker, by publishing / displaying it on the website of the stock broker / making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast /television broadcast / newspapers advertisements etc; or any other suitable or applicable mode or manner. The client agrees that the postal department / the courier company /newspaper company and the e-mail / voice mail service provider and such other service providers shall be agent of the client and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail / voice mail service provider, etc. by the stock broker and the client agrees never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever and once parameter for margin/



security requirements are so communicated, the client shall monitor his / her/ its position (dealings/ trades and valuation of security) on his / her / its own and provide the required / deficit margin / security forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the stock broker to the client and /or whether or not such communication is received by the client.

The client is not entitled to trade without adequate margin / security and that it shall be his / her / its responsibility to ascertain beforehand the margin / security requirements for his / her / its orders / trades / deals and to ensure that the required margin / security is made available to the stock broker in such form and manner as may be required by the stock broker. If the client's order is executed despite a shortfall in the available margin, the client, shall, whether or not the stock broker intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he / she / it shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) / or any claim / loss / damage arising out of the non availability / shortage of margin / security required by the stock broker and/or exchange and/or SEBI.

The stock broker is entitled to vary the form (i.e, the replacement of the margin / security in one form with the margin / security in any other form, say in the form of money instead of shares) and/ or quantum and/ or percentage of the margin and/ or security required to be deposited / made available, from time to time.

The margin / security deposited by the client with the stock broker are not eligible for any interest.

The stock broker is entitled to include / appropriate any / all pay out of funds and/ or securities towards margin / security without requiring specific authorizations for each pay out.

The stock broker is entitled to transfer funds and/ or securities from his account for one exchange and/ or one segment of the exchange to his / her / its account for another exchange &/ or another segment of the same exchange whenever applicable and found necessary by the stock broker. The client also agrees and authorises the stock broker to treat / adjust his / her / its margin / security lying in one exchange &/ or one segment of the exchange / towards the margin / security / pay in requirements of another exchange &/ or another segment of the exchange.

The stock broker is entitled to disable / freeze the account &/ or trading facility / any other service facility, if, in the opinion of the stock broker, the client has committed a crime / fraud or has acted in contradiction of this agreement or / is likely to evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so

apprehends.

### **3. Applicable brokerage rate**

The stock broker is entitled to charge brokerage within the limits imposed by exchange which at present is as under:

- (a) For Cash Market Segment : The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market segment of the Exchange shall be 2.5% of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale /purchase value of a share is Rs. 10/- or less, a maximum brokerage of 25 paise per share may be collected.
- (b) For Option contracts : Brokerage for option contracts would not exceed Rs. 100/- (per lot) single side or such other rates as provided by the exchange(s) / SEBI.

### **4. Imposition of penalty / delayed payment charges**

The client agrees that any amounts which are overdue from the client towards trading or on account of any other reason to the stock broker will be charged with delayed payment charges at @ 18% per annum by the stock broker.

The client agrees that the stock broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, 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.

The client agrees to pay to the stock broker brokerage, commission, fees, all taxes, duties, levies imposed by any authority including but not limited to the stock exchanges (including any amount due on account of reassessment / backlogs etc.), transaction expenses, incidental expenses such as postage, courier etc. as they apply from time to time to the client's account / transactions / services that the client avails from the stock broker.

### **5. The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues**

The stock broker maintains centralized banking and securities handling processes and related banking and depository accounts at designated place. The client shall ensure timely availability of funds / securities in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. The stock broker shall not be responsible for any claim/loss/damage arising out of non



availability /short availability of funds / securities by the client in the designated account(s) of the stock broker for meeting the pay in obligation of either funds or securities. If the client gives orders / trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities / funds for pay in for any reason whatsoever including but not limited to any delays / shortages at the exchange or stock broker level / non release of margin by the stock broker etc., The losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions / square off / closing outs etc., shall be solely to the account of the client and the client agrees not to hold the stock broker responsible for the same in any form or manner whatsoever.

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 square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage mentioned on the website, 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. In case open position (i.e. short /long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide securities / funds to fulfill the pay-in obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charge levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

The stock broker is entitled to prescribe the date and time by which the margin / security is to be made available and the stock broker may refuse to accept any payments in any form after such deadline to margin / security expires.

Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin / fund/security or to meet the funds/margins/securities pay in obligations for the orders / trades / deals of the client Within the prescribed time and form, the stock broker shall have the right without any further notice or communication to the client to take any one or more of the following steps:

- (i) To withhold any payout of funds / securities.
- (ii) To withhold / disable the trading / dealing facility to the client.
- (iii) To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which the stock broker may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities which are pending delivery / receipt.
- (iv) To liquidate / square off partially or fully the position of sale & / or purchase in anyone or more securities / contracts in such manner and at such rate which the stock broker may decide in its absolute discretion.
- (v) To take any other steps which in the given circumstances, the stock broker may deem fit.

The client agrees that the loss(s) if any, on account of any one or more steps as enumerated herein above being taken by the stock broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the stock broker.

## **6. Shortages 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 of shortages in obligations arising out of internal netting of trades is as under :

- a) The securities delivered short are purchased from market on T+2 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client.
- b) In case, the shares are not purchased from the market for whatsoever reason, the seller account shall be debited by the closing price of shares on the date of the auction plus 2% over and above the closing price or minimum 50 paise per shares on the date the auction for the settlement which ever is higher.
- c) In cases of securities having corporate actions all cases of



short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

#### **7. Temporarily suspending or closing a client's account at the client's request**

- (I) The client may request the stock broker to temporarily suspend his account, stock broker may do so subject to client accepting / adhering to conditions imposed by stock broker including but not limited to settlement of account and / or other obligation.
- (II) The stock broker can withhold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order / action requiring client suspension.

#### **8. De-registering a client**

Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- (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 the market, either alone or in conjunction with others.
- (ii) If there is any commencement of legal process against the Client under any law in force;
- (iii) On the death/ lunacy or other disability of the Client;
- (iv) If a receiver, administrator, liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- (v) 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;
- (vi) If the Client being a partnership firm, has any steps taken by the Client and / or its partners for dissolution of the partnership;
- (vii) If the Client has taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;

- (ix) 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;
- (x) If the Client suffers any adverse material change in his / her /its financial position or defaults in any other agreement with the Stock broker;
- (xi) If the Client is in breach of any term, condition or covenant of this Agreement;
- (xii) If any covenant or warranty of Client is incorrect or untrue in any material respect;

However notwithstanding any termination of the agreement, all transactions made under / pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place of execution of this agreement by stock broker.

#### **9. Treatment of inactive Accounts**

- a) Stock Broker has a right to declare any account as "in-active Account" if it is found that the account was not operated for a continuous period of more than 1 year (excludes system generated transactions like credit/ debit of interest & charges)
- b) The Stock Broker, on request of client in writing may convert the "in active Account" into an operative account.
- c) The inactive client's funds and securities accounts shall be settled as per the periodicity (monthly/quarterly) opted by the client and his/her assets (funds, securities or any other collateral) be returned to him/her and statement shall be sent to client.

#### **10. Proprietary Trading**

The Stock Broker (Alankit Assignments Ltd.), hereby informs and declares to the Client that, in addition to the Client level trading, the Stock Broker, undertakes Proprietary Trading also.

#### **11. Mode of Payment - to and from the clients**

- a) Stock Broker doesn't deal with its Client vis-a-vis their trading byway of cash, accordingly all payments are made or received by them only through banking channels. Further the Client must make payment to the Stock Broker from his designated (as mentioned in the KYC) bank account only.
- b) Stock Broker does not deal with its client vis-a-vis their trading by way of third party cheques. Accordingly, if any payment is made otherwise, then it is not credited to the client account and is held in suspense account.

#### **Client Acceptance of Policies and Procedures stated here in above :**

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 of this document in 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 anyone or more means or methods such as post / speed post / courier / registered post / registered A.D. / Facsimile / telegram / cable / e-mail / voice mails / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device, by messaging on the computer screen of the client's computer, by informing the client through employees / agents of the stock broker / making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast/ television broadcast / newspapers

advertisement etc; or any other suitable or applicable mode or manner. I/we agree that the postal department / the courier company / newspaper company and the e-mail / voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department / the courier company/ e-mail / voice mail service provider, etc. by the stock broker and 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 along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us. And stock broker before any court of law / judicial / adjudicating authority including arbitrator / mediator etc.

Signature 

Client Name:

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

## TARIFF SHEET

**NSE/BSE/MSEI**

### BROKERAGE

Contract Description	Capital Market (Cash) Segment				Equity Derivatives Segment			Currency Derivatives Segment		
	Delivery		Square up		Futures		Options	Futures		Options
	%	Min (Rs.)	%	Min (Rs.)	%	Min (Rs.)	(Rs./Lot)	%	Min (Rs.)	(Rs./Lot)
Brokerage										

### OTHER CHARGES

Exchange & SEBI Transaction Charges	As applicable from time to time
Stamp Duty	As applicable from time to time
Service Tax	As per the provisions of Service Tax Act 1994 and as amended from time to time
STT	As per the provisions of STT Act and as amended from time to time
Other Taxes/Charges	As may be applicable from time to time

I hereby agree with the charges and Brokerage Terms & Conditions mentioned above.

Signature 

Client Name:

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



**Date: 01/12/2017**

## SCHEME 'A' (NSDL/CDSL)

Account  
Number \_\_\_\_\_

<b>Account Maintenance (Per Annum)</b>	<b>Rs. 300/</b> A. Annual account maintenance charges for clients availing Speed- e facility of NSDL for debit instruction through Internet:- a. * For IDEAS users Rs. 20/- per annum extra b. * for smart card user Rs. 1020/- per annum * To be deposited in advance at the time of activation of account
<b>Off Market/Inter-depository Delivery</b>	Rs. 17/- per debit instruction
<b>Market Delivery</b>	Rs. 17/- per debit instruction
<b>Concessional charges for debit instruction put through speed-e facility of NSDL</b>	Rs. 15/- per debit instruction
<b>Rejection Charges</b>	<b>Rs 20/- per instruction</b>
<b>Creation of pledge</b>	Rs. 50/- per instruction (chargeable from the pledgor)
<b>Closure/invocation /confirmation of pledge/Closure confirmation</b>	<b>Rs. 25/- per instruction</b>
<b>Dematerialization</b>	Rs. 40/- plus Rs. 5/- per certificate subject to Maximum of Rs. 500/-
<b>Rematerialisation</b>	A. Rs. 20/- for every hundred securities viz. shares/debentures/bonds etc. or part thereof, or <b>b. Rs. 20/- per certificate. Whichever is higher</b>
<b>Repurchase/Redemption of Mutual Fund Units</b>	Rs. 20/- per request
<b>Delivery Instruction Book Charges</b>	<b>First DI book at the opening of new account free of cost subsequent DI book Rs 50/- per book.</b>

\*For instruction value Rs 5 Lac to 1 crore transaction charges will be charged RS 80/ per instruction

- \*For instruction value above Rs 1 crore transaction charges will be charged RS 500/ per instruction
- Annual charges will be levied w.e.f. 1st day of the quarter in which account is opened.
- In case of account closure the AMC shall be levied/collected up to the quarter in which the account is closed. The AMC for balance quarters shall be refunded.
- Non-execution of delivery instruction due to any problem/error-courier charges Rs.20/- per communication/dispatch.
- Modifications in client master Rs. 35/- per instance.
- Non-periodic statement and other communications shall be charged @ Rs. 5/- per page and postage/courier charges @ Rs. 30/- per mail.
- In case Bank mandate for debit through ECS is not given, minimum credit balance of Rs. 500/- shall be maintained as advance towards future charges.

- In case of foreign correspondence address, in addition to annual account maintenance charges, statement/communication charges @ Rs. 50/- per mail shall be charged extra.
- In case of non-payment of bill/dues within 30 days of due date, the depository services are liable to be discontinued within a period of 30 days from the due date and delayed payment charges shall be levied @ 18% per annum from due date.
- In case of any upward revision in schedule of charges, 30 days notice would be given to client.
- In case of demat rejection postage shall be charged @ Rs. 50/- for dispatch to the client for removal of objection.
- Any service not listed above will be charged for extra.
- Taxes and other government levies extra as applicable from time to time.
- Statement will not be sent to the client if dues are not paid.

For Alankit Assignments Ltd. `

Authorized Signatory



(Sole/First Holder)



(Second Holder)



(Third Holder)



**CHARGES SCHEDULE FOR ALANKIT TRADING CLIENTS ONLY**

**Date: 01/12/2017**

**SCHEME 'AA' (NSDL/CDSL)**

**Account  
Number** \_\_\_\_\_

<b>Account Maintenance (Per Annum)</b>	<b>A. NIL – Only For Clients Who Actively Trade Through Aal (i.e. Alankit Assignments Ltd).</b>
	<b>B. Facility of NIL as (a) above only available for clients actively trading through AAL. Clients, whose trading accounts are inactive/dormant, shall maintain minimum cash margin of Rs. 5000/- with AAL at all times otherwise normal AMC of Rs. 300/- as applicable for individual accounts shall be levied. For corporate / trust and NRI accounts this amount shall be Rs. 1000/- p.a.</b>
	<b>A. Annual account maintenance charges for clients availing Speed- e facility of NSDL for debit instruction through Internet:-</b>
	<b>a. * For IDEAS users Rs. 20/- per annum extra b. * for smart card user Rs. 1020/- per annum</b>
	<b>* To be deposited in advance at the time of activation of account</b>
<b>Trading account opening charges/documentation charges for Speed-e facility and Internet trading</b>	<b>Rs. 1000/-</b>
<b>Off Market/Inter-depository Delivery</b>	<b>Rs. 21/- per debit instruction</b>
<b>Market Delivery</b>	<b>Rs. 12/- per debit instruction for client trading with Alankit Assignments Ltd and Rs. 21/- per debit instruction for client trading with other brokers</b>
<b>Concessional charges for debit instruction put through speed-e facility of NSDL</b>	<b>Rs. 10/- per debit instruction for client trading with Alankit Assignments Ltd and Rs. 19/- per debit instruction for client trading with other brokers</b>
<b>Rejection Charges</b>	<b>Rs. 5/- per debit instruction</b>
<b>Creation of pledge</b>	<b>Rs. 50/- per instruction (chargeable from the pledgor)</b>
<b>Closure/invocation / confirmation of pledge/ Closure confirmation</b>	<b>Rs. 25/- per instruction</b>
<b>Dematerialization</b>	<b>Rs. 40/- plus Rs. 5/- per certificate subject to Maximum of Rs. 500/-</b>
<b>Rematerialisation</b>	<b>A. Rs. 20/- for every hundred securities viz. shares/debentures/bonds etc. or part thereof, or b. Rs. 20/- per certificate. Whichever is higher</b>
<b>Repurchase of Mutual Fund Units</b>	<b>Rs. 20/- per request</b>
<b>Delivery Instruction Book Charges</b>	<b>First DI book at the opening of new account free of cost subsequent DI book Rs 50/- per book</b>

\*For instruction value Rs 5 Lac to 1 crore transaction charges will be charged RS 80/ per instruction

\*For instruction value above Rs 1 crore transaction charges will be charged RS 500/ per instruction

- In case of account closure the AMC shall be levied/collected up to the quarter in which the account is closed. The AMC for balance quarters shall be refunded.
- Non-execution of delivery instruction due to any problem/error-courier charges Rs.20/- per communication/dispatch.
- Modifications in client master Rs. 35/- per instance.
- Non-periodic statement and other communications shall be charged @ Rs. 5/- per page and postage/courier charges @ Rs. 30/- per mail.
- In case Bank mandate for debit through ECS is not given, minimum credit balance of Rs. 500/- shall be maintained as advance towards future charges.

- In case of foreign correspondence address, in addition to annual account maintenance charges, statement/communication charges @ Rs. 50/- per mail shall be charged extra.
- In case of non-payment of bill/dues within 30 days of due date, the depository services are liable to be discontinued within a period of 30 days from the due date and delayed payment charges shall be levied @ 18% per annum from due date.
- In case of any upward revision in schedule of charges, 30 days notice would be given to client.
- In case of demat rejection postage shall be charged @ Rs. 50/- for dispatch to the client for removal of objection.
- Any service not listed above will be charged for extra.
- Taxes and other government levies extra as applicable from time to time.
- Statement will not be sent to the client if dues are not paid.

For Alankit Assignments Ltd. `

Authorized Signatory



(Sole/First Holder)



(Second Holder)



(Third Holder)



**Charges Schedule for Corporate / NRI / Trust Client**

**Date: 01/12/2017**

**SCHEME – 'E' (NSDL/CDSL)**

**Account Number** \_\_\_\_\_

<b>Account Maintenance (Per Annum)</b>	RS. 1500/-  A. Annual account maintenance charges for clients availing Speed- e facility of NSDL for debit instruction through Internet:- a. * For IDEAS users Rs. 20/- per annum extra b. * for smart card user Rs. 1020/- per annum extra ((inclusive of IDEAS facility) * <b>To be deposited in advance at the time of activation of account</b>
<b>Off Market/Inter-depository Delivery</b>	Rs. 17/- per debit instruction*
<b>Market Delivery</b>	Rs. 17/- per debit instruction*
<b>Concessional charges for debit instruction put through speed-e facility of NSDL</b>	Rs. 10/- per debit instruction
<b>Rejection Charges</b>	Rs. 5/- per debit instruction
<b>Creation of pledge</b>	<b>Rs. 50/- per instruction (chargeable from the pledgor)</b>
<b>Closure/invocation /confirmation of pledge/Closure confirmation</b>	<b>Rs. 25/- per instruction</b>
<b>Securities Borrowing</b>	<b>Rs. 40/- per instruction</b>
<b>Dematerialization</b>	Rs. 40/- plus Rs. 5/- per certificate subject to Maximum of Rs. 500/-
<b>Rematerialisation</b>	A. Rs. 20/- for every hundred securities viz. shares/debentures/bonds etc. or part thereof, or <b>b. Rs. 20/- per certificate. Whichever is higher</b>
<b>Repurchase/Redemption of Mutual Fund Units</b>	Rs. 20/- per request
<b>Delivery Instruction Book Charges</b>	<b>First DI book at the opening of new account free of cost subsequent DI book Rs 50/- per book.</b>

\*For instruction value Rs 5 Lac to 1 crore transaction charges will be charged RS 80/ per instruction

\*For instruction value above Rs 1 crore transaction charges will be charged RS 500/ per instruction.

- Annual charges will be levied w.e.f. 1st day of the quarter in which account is opened.
- **In case of account closure the AMC shall be levied/collected up to the quarter in which the account is closed. The AMC for balance quarters shall be refunded.**
- Non-execution of delivery instruction due to any problem/error-courier charges Rs.20/- per communication/dispatch.
- Modifications in client master Rs. 35/- per instance.
- Non-periodic statement and other communications shall be charged @ Rs. 5/- per page and postage/courier charges @ Rs. 30/- per mail.
- In case Bank mandate for debit through ECS is not given, minimum credit balance of Rs. 2000/- shall be maintained as advance towards future charges.
- In case of foreign correspondence address, in addition to annual account maintenance charges, statement/communication charges @ Rs. 50/- per mail shall be charged extra.
- In case of non-payment of bill/dues within 30 days of due date, the depository services are liable to be discontinued within a period of 30 days from the due date and delayed payment charges shall be levied @ 18% per annum from due date.
- In case of any upward revision in schedule of charges, 30 days notice would be given to client.
- In case of demat rejection postage shall be charged @ Rs. 50/- for dispatch to the client for removal of objection.
- Any service not listed above will be charged for extra.
- Taxes and other government levies extra as applicable from time to time.
- Statement will not be sent to the client if dues are not paid.

**For Alankit Assignments Ltd.**

**Authorized Signatory**



**(Sole/First Holder)**



**(Second Holder)**



**(Third Holder)**



**CHARGES SCHEDULE FOR BSDA CLIENTS ONLY**

**Date: 01/12/2017**

**SCHEME BSDA (NSDL/CDSL)**

<b>Account Maintenance (Per Annum)</b>	<p>a. No Annual Maintenance Charges (AMC) shall be levied, if the value of holding is upto Rs. 50,000.</p> <p>b. For the value of holding from Rs 50,001 to Rs 200,000, AMC Rs 100 shall be charged.</p> <p>c. If value of holding exceeds. From that day onwards Normal AMC @Rs300/- as applicable to scheme "A" (The value of holding shall be determined on the basis of guidelines in SEBI circulars).</p> <p><b>Annual account maintenance charges for clients availing Speed- e facility of NSDL for debit instruction through Internet:-</b></p> <p><b>* For IDEAS users Rs. 20/- per annum extra</b></p>
<b>Transaction Charges</b>	<p>a. Rs. 50/- per debit instructions</p> <p>b. Rs. 25/- per debit instructions concessional charges for debit Instruction put through speede-e Facility of NSDL</p>
<b>Rejection Charges</b>	Rs. 20/- per instruction
<b>Creation of pledge</b>	Rs. 50/- per instruction (chargeable from the pledgor)
<b>Closure/invocation / confirmation of pledge</b>	Rs. 25/- per instruction
<b>Securities Borrowing</b>	Rs. 40/- per instruction
<b>Dematerialization</b>	Rs. 40/- Plus Rs. 5.00 Per Certificate Subject to Maximum of Rs. 500/-
<b>Rematerialisation</b>	<p>A. Rs. 20/- for every hundred securities viz. shares/debentures/bonds etc. or part thereof,</p> <p>or</p> <p>Rs. 20/- per certificate. Whichever is higher</p> <p>However, no rematerialisation fee shall be charged for Government Securities.</p>
<b>Repurchase/redemption</b>	<b>Rs. 20/- per certificate</b>
<b>Delivery Instruction Book Charges</b>	<b>First DI book at the opening of new account free of cost subsequent DI book Rs 50/- per book</b>

- In case of account closure the AMC shall be levied/collected up to the quarter in which the account is closed. The AMC for balance quarters shall be refunded
- **All BOs opting for the facility of BSDA, shall register their mobile number for availing the SMS alert facility for debit transactions**
- Non-execution of delivery instruction due to any problem/error-courier charges Rs.20/- per communication/dispatch.
- Modifications in client master Rs. 35/- per instance.
- Additional physical statement beyond 2 statement per billing cycle shall be charged @ Rs 25/- Per Statement.
- In case Bank mandate for debit through ECS is not given, minimum credit balance of Rs. 500/- shall be maintained as advance towards future charges.
- In case of foreign correspondence address, in addition to annual account maintenance charges, statement/communication charges @ Rs. 50/- per mail shall be charged extra.
- In case of non-payment of bill/dues within 30 days of due date, the depository services are liable to be discontinued within a period of 30 days from the due date and delayed payment charges shall be levied @ 18% per annum from due date.
- In case of any upward revision in schedule of charges, 30 days notice would be given to client.
- In case of demat rejection postage shall be charged @ Rs. 50/- for dispatch to the client for removal of objection.
- Any service not listed above will be charged for extra.
- Taxes and other government levies extra as applicable from time to time.
- At any time when accounts is qualified as non BSDA account charges as per Annex. charge Schedule "A" shall be applicable
- Statement will not be sent to the client if dues are not paid.

Please place my / our account under Scheme \_\_\_\_\_  
For Alankit Assignments Ltd.

Authorized Signatory

 \_\_\_\_\_  
(Sole/First Holder)

 \_\_\_\_\_  
(Second Holder)

 \_\_\_\_\_  
(Third Holder)



**NON  
MANDATORY**



**FORWARDING LETTER IN RESPECT TO POWER OF ATTORNEY WHEREIN ALANKIT ASSIGNMENTS LIMITED IS THE DONEE**

To,  
**Alankit Assignments Limited**  
"Alankit house", 4E/2, Jhandewalan Extension, New Delhi - 110055

FROM:

First Holder \_\_\_\_\_

Second Holder \_\_\_\_\_

Third Holder \_\_\_\_\_

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

Dear Sir,

**Sub: Registration of Power of Attorney for my/our Demat Account**

Client ID \_\_\_\_\_ DP ID \_\_\_\_\_

I/We have granted a Power of Attorney (POA) to M/s. Alankit Assignments Limited (POA holder), to allow operations / operate my/our above mentioned account(s) with you. The original / notarized copy of POA is enclosed. I/We will inform the Alankit Assignments Ltd. immediately in writing, incase the POA is revoked by me. Till such time the Alankit Assignments Ltd. shall continue to act on the POA.

**Also please register the mobile no. in my/our demat account and update the SMS flags. The details of the same are as follows: (Mandatory)**

Sole / First Holders Name : \_\_\_\_\_

Second Holders Name : \_\_\_\_\_

Third Holders Name : \_\_\_\_\_

Mobile Number (Mandatory) : 




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

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

(Please attach copy of the latest Bill of the service provider i.e. Mobile Company)

**Signature of demat account holders**

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



## POWER OF ATTORNEY

Be it known to all whom these present may concern that I/We, \_\_\_\_\_, S/o, D/o, W/o \_\_\_\_\_ holder of PAN No. \_\_\_\_\_ (Mention Identity Documents) and residing at \_\_\_\_\_ address \_\_\_\_\_

do hereby appoint, nominate and constitute ALANKIT ASSIGNMENT LTD REGD. OFFICE 205-208, Anarkali Complex, Jhandewalan Extension, New Delhi – 110 055 as my/our true and lawful attorney in my/our name and on my/our behalf.

WHEREAS I/We am/are maintaining Demat Account No. \_\_\_\_\_ DP ID \_\_\_\_\_ with Alankit Assignments Ltd.

WHEREAS I/We, am/are Broking constituent/s of Alankit Assignments Limited and am/are required to give delivery of securities to the said Alankit Assignments Ltd. towards our obligations in connection with our broking dealings relating to pay-in and margin obligations.

AND WHEREAS it is not possible for me/us to execute/give the delivery instructions on my/our own and have requested the said Alankit Assignments Ltd. to undertake delivery of securities on my/our behalf.

AND WHEREAS the said Alankit Assignments Ltd. has agreed at my/our request to effect delivery of the same from my/our demat account.

In these premises, my/our said attorney, Alankit Assignments Ltd. is authorized on my/our behalf to execute delivery instructions slips/forms and other instructions for getting all/any of the above mentioned job done.

The securities may be transferred in following Demat Accounts of Alankit Assignments Ltd.:

Sl. No.	Demat A/c No/CM BP ID.	DP Id	D P Name	A/c Type
1.	CMBP Id -IN508616	IN300118	Alankit Assignments Ltd.	NSDL/NSE Pool A/c
2.	CMBP Id -IN630711	IN300118	Alankit Assignments Ltd.	NSDL/BSE Pool A/c
3.	11039923	IN300118	Alankit Assignments Ltd.	BSE Client Beneficiary A/c
4.	11039914	IN300118	Alankit Assignments Ltd.	NSE Client Beneficiary A/c
5.	14056813	IN300888	SHCIL	F & O Margin A/c
6.	18476783	IN301330	SHCIL	Cash segment Margin A/c
7.	20807668	IN301330	SHCIL	Currency Margin A/c
8.	1201410000000033		Alankit Assignments Ltd.	NSE CDSL Pool A/c
9.	1201410000011121		Alankit Assignments Ltd.	BSE CDSL Pool A/c
10.	11706770	IN300118	Alankit Assignments Ltd.	Stock Broker Collateral

Alankit Assignments Ltd. would return the securities to client's demat account if any securities have been received by Alankit Assignments Ltd. erroneously.

"This Power of Attorney may be revoked by me/us at any time. However, such revocation shall not be applicable for any outstanding settlement obligation arising out of the trades carried out prior to receiving request for revocation of PoA."

And generally to do all other acts, deeds and things, as may be incidental, ancillary and necessary to be done in giving effect to all or any of the aforesaid purposes.

And I/we hereby for my/our self, my/our heirs, executors, and administrators agree to ratify and confirm whatever my/our said attorney shall do or lawfully cause to be done in the premises by virtue of these present.

And I/We hereby agree that all acts, deeds and things lawfully done by my/our said attorney shall be construed as acts, deeds and things done by me/us and I/We undertake to ratify and confirm all the whatsoever that my/our said attorney shall lawfully do or cause to be done for me/us by virtue of the Power hereby given.

IN WITNESS WHEREOF, I/We the above mentioned do hereby-set my/our hands hereon at \_\_\_\_\_ on this \_\_\_\_\_ day of the month of \_\_\_\_\_ in the year \_\_\_\_\_ in the presence of the following witness:

WITNESS (1) : \_\_\_\_\_  
NAME : \_\_\_\_\_  
SIGNATURE : \_\_\_\_\_  
ADDRESS : \_\_\_\_\_  
:

**EXECUTANT**

WITNESS (1) : \_\_\_\_\_  
NAME : \_\_\_\_\_  
SIGNATURE : \_\_\_\_\_  
ADDRESS : \_\_\_\_\_  
:  
:

**ACCEPTED**







## RUNNING ACCOUNT AUTHORISATION

To,  
**Alankit Assignments Limited**  
"Alankit house", 4E/2, Jhandewalan Extension, New Delhi - 110055

Trading Code (UCC): \_\_\_\_\_

Dear Sir,

I/We have been / shall be dealing through you as my/our broker on the Capital Market and/ or Futures & Options Segments/Currency Derivative Segments, Mutual Fund. I/ We further authorize you to follow these instruction across exchanges & across segments in which I/ we have already opened accounts with you or I may open account in future. As my / our broker i.e. Agent I/ we direct and authorize you to carry out trading / dealings on my / our behalf as per instruction given below:

I am/We are aware that you and I/we have the option to deliver securities/make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives /regulations/circulars, issued by exchange/regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our securities and monies as margin / collateral without which I/we cannot deal /trade.

Therefore I /we hereby direct and authorise you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/ clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive securities/ funds in settlement of trades/ dealings please keep the securities and monies with you and make credit entries for the same in running accounts of securities and funds maintained by you. Further, the funds & securities can be transferred from one segment to other and from one exchange to another as per the requirements. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/ collateral for my/our dealings/trading. You are authorized to do these acts across all exchanges & segments in which I / we have been / shall be dealing with you. I/we understand and agree that no interest will be payable to me/us on the amounts or securities so retained by you.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the client demat ledger (register of securities) displaying all receipts/deliveries of funds/securities. Please explain in the statement(s) being sent the retention of funds/securities and the details of the pledge, if any. I agree that if I/we will bring any dispute arising from the statement of accounts or settlement so made to your notice within 30 working days from the date of receipt of funds/securities or statement, as the case may be in writing by delivery at your corporate office. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

Please further note that I/we can revoke this authorisation at any time. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my /our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities /monies under this agreement.

I/We further authorize you to retain an amount of upto Rs.10,000/- (net amount across segment and across exchanges) and no need to issue the cheques/ transfer the funds into my/our Bank Account if the balance is equal to or less than Rs. 10,000. The same can be released on my/our specific request

My/Our preference for actual settlement of funds and securities is at least:

☐ Once in a Calendar Quarter ☐ Once in a Calendar Month

Thanking you

Signature 

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

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







To,  
**Alankit Assignments Limited**  
 "Alankit house", 4E/2, Jhandewalan Extension, New Delhi - 110055

Trading Code (UCC): \_\_\_\_\_

Dear Sir,

I/ we understand that, I/we have the option to receive the Contract Notes / Statements of Funds & Securities in physical form or electronic form. In pursuance of the same. I/ we hereby opt for receipt of Contract Notes / Statements of Funds & Securities in electronic form. I/ we hereby also give my / our consent for providing me /us trade confirmations through your SMS alert services. Accordingly, please note my current email id and Mobile Number on your record for sending the communication to me /us.

Email id

Mobile No.

I/ We agree not to hold you responsible for late / non-receipt of Contract Notes / Statements of Funds & Securities sent in electronic form and any other communication for any reason including but not limited to failure of email servers, 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 / Statements of Funds & Securities 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 non-receipt / delayed receipt for any reason whatsoever.

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 understand the SMS alert service is purely a voluntary facility provided by you to us and it shall be my / our responsibility to check the data with the actual Contract Notes / Statements of Funds & Securities / Financial Ledger given by you. The messages flashed shall be merely reminders for my / our convenience and I / we agree not to hold you liable for any incompleteness / inaccuracies in the messages sent and that I/we shall take all our actions based on the normal confirmations received by me / us.

In case, in any of the above segments / exchanges due to any reason, whatsoever, if you want to send Contract Notes / Statements of Funds & Securities in physical form, I / we here by permit you to send the same in physical mode.

I/We understand that I/we shall intimate any change in the email id / mobile number mentioned herein above through a duly signed request letter in original to you, provided however that if I/ we am / are an internet client then in that event the request for change in email id / email account can be made by me / us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my / our verbal directions / authorizations given and carried out by you earlier. I/we shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our direction given above.

Thanking you

Yours faithfully,

Signature 

Client Name:

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



## AUTHORITY LETTER

To,  
**Alankit Assignments Limited**  
'Alankit House', 4E/2, Jhandewalan Extension, New Delhi - 110055

Trading Code (UCC): \_\_\_\_\_

Dear Sir,

With respect to the client - member relationship with you, we authorize you to do the following:

**1. Adjustment of account between exchanges and segments :**

I/we hereby inform you that I have executed/intend to execute an agreement with you for trading on different exchanges, i.e., NSE, BSE & MSEI in cash and derivative segments. I/We request you to transfer, make adjustments and/or set off a part or whole of the securities placed as margin and/or any surplus funds in any of the accounts maintained with you against the outstanding dues payable if any, by me/us to any of my/our account(s) maintained with you. You will have lien on the credit balance in any of my/our account for meeting the debit or obligations in progress in any other of my/our account. Any entries passed by you in accordance with this authorization will be binding on me/us.

**2. Pledge of Monies/Securities :**

I/We irrevocably authorize you to pledge any securities purchased for me/us and held in your Pool A/c, awaiting payment of price from me/us, with any bank or other institution as you may deem fit.

**3. Authorization to debit Demat Account operating charges :**

I/We opened/ have a Beneficiary account with you and I/we have a trading account with you for investment and trading purpose. It will be very difficult for me/us to issue separate cheques against your depository bills. Hence, I authorize you to debit the trading account for the debit charges payable to you as Depository Participant for providing depository services. Any such sum debited to my/our account shall be binding on me/us.

**4. Verbal Order Acceptance Authorization:**

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

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

**5. Standing Instructions :**

Since you are issuing contract notes bearing order numbers and trade numbers on a daily basis, please do not issue the order/ trade confirmation slips as generated from the Trading Terminal.

I hereby authorizes Alankit to maintain records / books of accounts for me collectively for different exchanges / segments of the exchanges and / or any other service which I may be availing.

6. to act in your discretion of merging balances kept under various accounts held with the you, such as CDSL / NSDL DP Account, CM Trading Account, F&O Trading Account, Currency Trading Account, Online IPO / MF Account and MFSS etc., to nullify the debit in any of my/our other account held with you without taking any further instructions from me/us;
7. to merge the securities kept with you in various accounts in order to nullify the debit in any account of my/our account;
8. to withhold the credit of securities to my/our demat account if any sum is due from me/us;
9. to withhold the securities to meet my/our liabilities to you under the trading agreement;
10. to block securities against pending order or pledge securities in your favour against any of my/our dues;

Signature 

Client Name:

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



## MUTUAL FUND SERVICE SYSTEM FACILITY

To,  
**Alankit Assignments Limited**  
'Alankit House', 4E/2, Jhandewalan Extension, New Delhi - 110055

Trading Code (UCC): \_\_\_\_\_

Dear Sir,

I/We \_\_\_\_\_ am/are registered as your client with Client Code No. \_\_\_\_\_ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of Bombay Stock Exchange Ltd./ National Stock Exchange of India Ltd. (Exchange).

I/We am/are interested in availing the BSE StAR MF/MFSS 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/ MFSS of the Exchange.

For the purpose of availing the BSE StAR MF/ MFSS 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/ MFSS 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 Circular dated 24, November 2009 & 2, December, 2009 for NSE & BSE Respectively and as may be specified by the Exchanges 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 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 Schemes.

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

### Details of terms & conditions for the Investor / Client for using New BSE StAR MF / MFSS facility

- |  |  |
|--|--|
| 1. Pre-requisites for becoming Investor / Client for the BSE StAR MF/MFSS facility   | 2.3. The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.   |
| 1.1. The client who is desirous of investing in units of mutual fund schemes through the New BSE StAR MF/MFSS.   | 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.  |
| 1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant of the New BSE StAR MF/MFSS.  | 2.5. The client shall be wholly responsible for all his investment decisions and instruction.  |
| 1.3. The client has satisfied itself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instruction through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transacting through the Participant. | 2.6. The client shall ensure continuous compliance with the requirements of the BSE, NSEIL, SEBI and AMFI.   |
| 1.4. The Client has approached to the Participant with the application for availing the New BSE StAR MF/MFSS facility.   | 2.7. The Client shall pay to the Participant 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 Participant renders to the Client.   |
| 1.5. The client has submitted relevant KYC (Know Your Client) details to the Participants  | 2.8. The client will furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or 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. Terms and Conditions  | 2.9. In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of BSE or BOISL / NSEIL or NSCCL.  |
| 2.1. The client shall be bound by circulars issued by BSE/NSEIL, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.  | 2.10. In case of any dispute between the Participants and the investors arising out of the BSE StAR MF Fund / MFSS facility, BSE and /or BOISL and NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.   |
| 2.2. The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New BSE StAR MF/MFSS or at any time thereafter.                                       |  |

Signature 

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

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



## MISCELLANEOUS DECLARATIONS

To,  
**Alankit Assignments Limited**  
'Alankit House', 4E/2, Jhandewalan Extension, New Delhi - 110055  
DP Client ID \_\_\_\_\_

Trading Code (UCC): \_\_\_\_\_

### DECLARATION FOR NOT HAVING EMAIL-ID

I hereby confirm and declare that currently I do not have any Email ID. I further undertake to inform you of any changes therein, immediately.

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

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

### DECLARATION FOR PROVIDING SMS AND E-MAIL ALERTS TO RELATIVE

I hereby declare that the Mobile Number and/or Email ID given in the account opening form are of my relative. He / She already has a Demat / trading account with Alankit Assignments Limited under the below mentioned PAN or UCC.

Relationship: ☐ Spouse ☐ Dependent parent ☐ Dependent child (✓ where applicable)

Name of the relative : \_\_\_\_\_

PAN of the relative: \_\_\_\_\_

Or

Unique Client Code (UCC) of the relative: \_\_\_\_\_

I request you to please accept their Mobile number and/or E-mail ID for the purpose of sending SMS and/or E-mail alerts by the Stock Exchange / Depository to me.

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

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

### DECLARATION FOR NAME MISMATCH (To be filled if the name on documents is different)

This is to bring to your notice that my name is spelt differently in my Identity proof, Address proof and Bank proof. Please find below the names as spelt in respective proofs:

Name as per PAN CARD \_\_\_\_\_

Name as per Address Proof \_\_\_\_\_

Name as per Bank Proof \_\_\_\_\_

I hereby confirm that all the said names belong to me. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep Alankit Assignments Limited indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by Alankit Assignments Limited for any act done or omitted to be done on the above declaration.

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

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

### DECLARATION FOR SIGNATURE MISMATCH

(To be filled if client's signature is mismatched from PAN Card and Bank)

This is to bring into your notice that my signature on PAN Card / Bank and account opening form are as follows:

Signature as per Bank

Signature as per Account  
Opening Form

Signature as per PAN Card

I hereby confirm that all the above signatures are mine. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep Alankit Assignments Limited indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by Alankit Assignments Limited for any act done or omitted to be done on the above declaration.

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

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



## AUTHORISATION FOR TRADING

To,  
**Alankit Assignments Limited**  
'Alankit House', 4E/2, Jhandewalan Extension, New Delhi - 110055

Dear Sir,

### Sub: Authorisation for Trading

This has reference to my trading account with you bearing Client Code\_\_\_\_\_I hereby  
irrevocably authorize Mr.\_\_\_\_\_ (Name of the Authorized Person) to do  
thefollowing:

1. Place orders on my behalf in the Cash Segments of both the National Stock Exchange (NSE) and Bombay Stock Exchange Ltd. (BSE) and also in the Futures & Options (F&O) Segment of the NSE.
2. To receive confirmations on my behalf for orders placed by him in the said account.
3. To receive/collect contracts and bill on my behalf in the said account.
4. To receive instructions for payment of margins, including margin calls made should there be a shortfall at any point of time.
5. To receive communication regarding squaring up of existing open positions, in case of shortfall of margin or otherwise.
6. To give and receive settlement and other instructions in the said account, including, but not limited to, instructions for payment and receipt of cheques.
7. To the extent possible, I will not place orders or receive instructions directly to and/or from you while this authority is subsisting. However, in case of any contradictory instructions received by you from me and my husband, my instructions will prevail. Any instruction given to or received from Mr. \_\_\_\_\_ (Name of the Authorized Person) in connection with the said trading account will be treated as an instruction given to or received from me.

I, further, hereby undertake to honor all obligations arising out of the orders placed by Mr. \_\_\_\_\_  
 \_\_\_\_\_ (Name of the Authorized Person) by virtue of this authority letter and I indemnify and shall keep  
 Alankit Assignments Limited indemnified from any and all losses arising out of such orders.

This authority may be treated as a standing instruction till further notice in writing from me.

I am appending the signature of Mr. \_\_\_\_\_ (Name of the Authorized Person)

Name of  
Authorised Person

Signature of the  
Authorized Person

Thanking You,

Yours Faithfully

Signature of Client | 

Signature of Witness

Client Name:

Witness Name

Date : 

		-		-			
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**DECLARATION BY KARTA & ALL THE CO-PARCENERS (for HUF only)**

To

**Alankit Assignments Limited**

'Alankit house', 4E/2, Jhandewalan Extension, New Delhi - 110055

Dated : \_\_\_\_\_

Dear Sir/Madam,

- Whereas the Hindu Undivided Family of.....is carrying on business in the firm name and style of at ..... or we intent to deal have or desire to have Securities Trading Account with Alankit Assignments Limited (hereinafter referred as Member). We undersigned, hereby confirm and declare that we are the present adult co-parceners of the said joint family; that Mr./Mrs..... is the present Karta of the said joint family.
- We confirm that affairs of HUF firm are carried on mainly by the Karta Mr/ Mrs. .... on behalf and in the interest and for the benefits of all the co-parceners. We hereby authorize the Karta on behalf of the HUF to deal with the member and the said trading member is hereby authorized to honor all instructions oral or written, given by him on behalf of the HUF. He is authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through the member on behalf of the HUF. He is also authorize to sign execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said HUF firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every co-parceners of the said joint family, including the share of the minor co parceners, if any.
- We undertake to advise the member in writing of any change that may occur in the Karta ship or in the constitution of the said joint family or of the said HUF firm and until receipt of such notice by the member who shall be binding on the said joint family and the said HUF firm and on our respective estates. We shall, however continue to be liable jointly and severally to the member for all dues obligations f the said HUF firm in the Member's book on the date of the receipt of such notice by the member and until all such dues and obligations shall have been liquidated and discharged.
- The names and dates of the birth of all the present minor & major co-parceners of the said joint family are given below. We also undertake to inform you in writing as and when each of the said members attains the majority and is authorized to act on behalf of, and bind the said HUF firm.

List of Family Members						
S. No.	Name of the Co-parceners (Including Minor also)	Relationship with Karta	PAN No.	Address (if other than Karta's address)	Date of Birth	Signature
1.						
2.						
3.						
4.						
5.						
6.						

Note : In case of adult family member provide copy of PAN card or any other ID proof (DL/Voter ID/ Passport). In case of Minor Family Member provide copy of age certificate (Birth Certificate/School Leaving Certificate).

Name of the HUF \_\_\_\_\_

Signature of Karta with Rubber Stamp

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







***Alankit* ASSIGNMENTS LIMITED**

Regd. Office : 205-208, Anarkali Complex, Jhandewalan Extension, New Delhi 110 055











## ACKNOWLEDGEMENT

**To,**  
**Alankit Assignments Limited**

DP Client ID: \_\_\_\_\_ Trading Code(UCC) : \_\_\_\_\_

I/We have received a copy of each of the filled KYC (Account Opening Form) for Trading & Demat, Rights and Obligations, Risk Disclosure Document (RDD), Guidance Note, Policies and Procedures, Tariff sheet, Terms & Conditions of FATCA and all voluntary documents i.e. 1. Registration of POA 2. Running Account authorization, 3. Authorisation For Electronic Contract Notes / Statements Of Funds & Securities Etc. & SMS Alerts, 4. Authority Letter, 5. Mutual Fund Service System Facility, 6. Miscellaneous declarations, 7. Authorisation For Trading.

Signature | 

Client Name: | | | | | | | | | | | | | | | | | | | | | |

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

Note: You may also visit our website: [www.alankit.com](http://www.alankit.com) for Rights and Obligations, Risk Disclosure Document (RDD) Guidance note, Policies and Procedures, Terms & Conditions of FATCA







## e-Insurance Account (eIA) Opening Form for Individuals

(Please fill this form in ENGLISH and in BLOCK LETTERS.  
Fields marked with asterisk (\*) are compulsory)

Signature

Please affix your  
recent colour  
photograph

Please sign in the box

### eIA Applicant Details

First Name*	<input type="text"/>																			
Middle Name	<input type="text"/>																			
Last Name	<input type="text"/>																			
Father's/Husband's Name	<input type="text"/>																			
Gender*	Male	<input type="checkbox"/>	Female	<input type="checkbox"/>	Others	<input type="checkbox"/>	Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
ID Proof*	PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	& / or	UID	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
ID Proof Submitted*	<input type="text"/> # / <input type="text"/>																			
DOB Document Submitted*	<input type="text"/> # / <input type="text"/>																			

### Permanent Address

Address Line 1*	<input type="text"/>																				
Address Line 2	<input type="text"/>																				
Address Line 3	<input type="text"/>																				
Landmark	<input type="text"/>																				
City*	<input type="text"/>																				
Country*	<input type="text"/>										State*	<input type="text"/>									
Pincode*	<input type="text"/>																				
Address Proof Submitted*	<input type="text"/> # / <input type="text"/>																				

### Correspondence Address

Same as above ☐ No ☐

Address Line 1*	<input type="text"/>																				
Address Line 2	<input type="text"/>																				
Address Line 3	<input type="text"/>																				
Landmark	<input type="text"/>																				
City*	<input type="text"/>																				
Country*	<input type="text"/>										State*	<input type="text"/>									
Pincode*	<input type="text"/>																				
Address Proof Submitted*	<input type="text"/> # / <input type="text"/>																				

### Contact Details

Telephone No.	<input type="text"/>																			
Mobile No.*	<input type="text"/>																			
Fax No.	<input type="text"/>																			
E-mail ID*	<input type="text"/>																			

# Please mention the document code. List of documents and their respective codes is provided in the Annexure | <https://nir.ndml.in/>  
\$ For list of valid documents, please refer the Annexure | <https://nir.ndml.in/>

(For office use only)

eIA No.:	<input type="text"/>										Approved Person ID:	<input type="text"/>									
Date of Receipt of Application:	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Application No.:	<input type="text"/>									
Insurance Company:	<input type="text"/>																				



## Bank Details

Account Type*	Savings <input type="checkbox"/>	Current <input type="checkbox"/>
Account Number*		
Bank Name*		
Branch Name*		
City*		
MICR Code		IFSC code
(Compulsory in case of ECS)		(Compulsory in case of NEFT)
Cancelled Cheque <input type="checkbox"/>	(Please tick and attach a copy)	

## Authorised Representative Details

First Name*																
Middle Name																
Last Name																
Gender*	Male <input type="checkbox"/>	Female <input type="checkbox"/>	Others <input type="checkbox"/>	Date of Birth*	D	D	M	M	Y	Y	Y	Y				
PAN					UID											
Relationship with eIA Applicant*																

## Address

Same as eIA Applicant: Permanent ☐ Correspondence ☐

Address Line 1*																									
Address Line 2																									
Address Line 3																									
Landmark																									
City*																									
Country*													State*												
Pincode*																									

## Contact Details

Telephone No.																																
Mobile No.*																																
E-mail ID*																																

Do you want to notify Authorised Representative about his/her appointment?\* Yes ☐ No ☐  
(If none of the option is selected, it will be considered as YES)

## Declaration

The rules and regulations of Insurance Regulatory and Development Authority of India & Insurance Repository pertaining to an e-Insurance Account which are in force now have been read by me and I have understood the same and I agree to abide by and to be bound by the rules as are in force from time to time for such e-Insurance Account. I hereby declare that the particulars given herein are true, correct and complete to the best of my knowledge and belief, the documents submitted along with this application are genuine and I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute or legislation or any Notifications, Directions issued by any governmental or statutory authority from time to time. I authorise the Insurance Repository to send any policy and account related information through email and SMS on the contact details given by me. In case of any physical policies being issued by the Insurance Company from whom I obtain an e-policy, the address in the e-Insurance Account shall override the address provided for the physical policies. I understand that all the communication relating to any physical/ e-policy will be sent to the address registered with the Insurance Repository. I agree to inform the Repository of any changes in the details mentioned in this form and in case of delay the said repository shall not be liable in case it acts on the said information which has not been updated. Further, in case I update the details with the Insurance Company, I authorise them to submit the same to you for update in the e-Insurance Account and the said update will be applicable to all policies of any insurer that I hold/ will hold in the said account. I authorise the Repository to pass on the information to any Insurance Company that I have approached for availing of insurance cover. I further agree that any false / misleading information given by me or suppression of any material fact will render my e-Insurance Account liable for termination and further action. I hereby authorise the Insurance Repository / Insurance Company to disclose, share, remit in any form, mode or manner, all / any of the information provided by me to the respective Insurance Companies and / or to their authorised agents and representatives in which I may transact / have transacted including all changes, updates to such information as and when provided by me.

I hereby agree to provide any additional information / documentation that may be required by the Authorised Parties, in connection with this application. I hereby confirm that this is a unique e-Insurance Account opening application and I have not applied to the same Insurance Repository or any other Insurance Repository for an e-Insurance Account in the past.

I would like to receive my insurance policy and all the information related to the proposed insurance policy through Insurance Repository.

--

Name of the eIA Holder

--

Signature

## e-Insurance for easy access

- Mention the eIA number while buying a new policy
- Open eIA to receive online credit of insurance policy
- Check your eIA details registered with NIR

- Convert your physical policies to electronic at the earliest
- Check the policy after it is credited to your account
- Avail electronic services and information available through eIA

Website: <https://nir.ndml.in/> | Email: [helpdesk.nir@nsdl.co.in](mailto:helpdesk.nir@nsdl.co.in)



## Important Points

- This form is meant for an individual to open an e-Insurance Account (eIA)
- An eIA enables an individual to hold the various types of insurance policies in electronic format in a single account
- This will eliminate the need of holding the insurance policies in physical form
- This account will also act as a single point of contact for the policyholders to update their demographic details with all the insurance companies from where the policies are acquired

**An individual can hold only a single eIA**

## Authorised Representative:

An Authorised Representative is a person appointed by eIA holder who can access eIA in the event of the eIA holder's demise or in his incapacity to access the eIA. The Authorised Representative can only access the e-Insurance Account to know the portfolio of insurance policies. The Authorised Representative may be different from the nominee. The eIA holder has the right to change the Authorised Representative during the term of eIA. The eIA holder should change the Authorised Representative on the Authorised Representative's demise. Where an eIA is operated by the Authorised Representative of eIA holder, the Insurance Repository may block the eIA for any further transactions. In such a case, every transaction shall be routed through the respective insurers.

## Guidelines for Filling the eIA Form

- The fields marked in asterisk (\*) are mandatory
  - The application form should be completed in ENGLISH and in BLOCK LETTERS
  - Fill the form in black ink or ball point pen
  - The application form should be filled in legible handwriting and overwriting should be avoided
  - Please tick the appropriate box wherever applicable
  - Affix a recent photograph
  - Please ensure that the form is completed and signed by the person opening the eIA
  - The application form complete in all aspects alongwith the documents should be submitted to the Approved Person
  - Proof of Identity, Proof of Address and Date of Birth Proof are mandatory for opening an eIA
  - The eIA applicant is required to present the original KYC documents for verification while submitting the eIA form to Approved Person/Insurance companies
- The list of documents required to be submitted is provided in the Annexure

**Following are the list of documents for Date of Birth Proof, Proof of Identity and Proof of Address**

### ANNEXURE I: Date of Birth Proof (any one of the following)

- |   |  |
|---|--|
| 01 PAN Card   | 16 Central Govt. Health scheme certificate for their employees/ family members/ dependants   |
| 02 Domicile Certificate   | 17 Govt. service registers extract/certificates issued by Govt. to its employees   |
| 03 Ration Card  | 18 Employer's PF statement   |
| 04 Driving License  | 19 ESIS Card ( Employees State Insurance Scheme )  |
| 05 Passport   | 20 Employer's certificate from Govt., Semi Govt., MNC, Public Ltd., Reputed Private Ltd. Organizations only. The certificate must be on the letterhead, duly signed & stamped by the authorised signatory                    |
| 06 Voter ID Card  | 21 Certified School/ College Extract including School/ College leaving certificate/ Degree certificates/ mark sheet or hall ticket or admit card issued by Educational Board (10 & 12th std) reflecting DOB of eIA applicant |
| 07 Municipal Birth Certificate  | 22 Policy Document of other private insurers   |
| 08 Notarized Birth Certificate  | 23 LIC Policy  |
| 09 Baptism Certificate  | 24 Islander cards for Residents of Andaman & Nicobar Island  |
| 10 Marriage Certificate issued by Church  | 25 Pilgrim pass issued for Haj Pilgrimage  |
| 11 Identity card/ document with address, issued by Central/ State Government and its Departments  |  |
| 12 Gram Panchayat Certificate   |  |
| 13 Identity card/ document with address, issued by Public Sector Undertakings   |  |
| 14 Defense ID including Ex-serviceman card issued to Defense personnel/ certificate of DOB issued by commanding officer with his seal & signature on the same |  |
| 15 Identity card/ document with address, issued by Colleges affiliated to universities  |  |

### ANNEXURE II: Proof of Identity (any one of the following)

- |        |        |
|--------|--------|
| 01 PAN | 02 UID |
|--------|--------|

### ANNEXURE III: Proof of Address (any one of the following)

- |   |   |
|---|---|
| 01 Regd. Lease and License Agreement/ Agreement for sale  | 12 Identity card/ document with address, issued by Statutory/ Regulatory Authorities  |
| 02 Aadhar Letter  | 13 Identity card/ document with address, issued by Public Sector Undertakings   |
| 03 Ration Card  | 14 Identity card/ document with address, issued by Scheduled Commercial Banks   |
| 04 Driving License  | 15 Identity card/ document with address, issued by Public Financial Institutions  |
| 05 Passport   | 16 Identity card/ document with address, issued by Colleges affiliated to universities  |
| 06 Voter ID Card  | 17 Identity card/ document with address, issued by Professional Bodies such as ICAI, ICWAI, Bar Council etc. to their Members |
| 07 Bank Passbook (not more than 6 months old)   |   |
| 08 Electricity Bill (not more than 6 months old)  |   |
| 09 Residence Telephone Bill (not more than 6 months old)  |   |
| 10 Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts |   |
| 11 Identity card/ document with address, issued by Central/ State Government and its Departments                    |   |



