

Client Registration Form

KUNVARJI
FINSTOCK
PVT. LTD.



Individual & Non-Individual

Form No. : **A**

Name :

Code : **BO ID :- 12048400**

Branch/RM Name :

Sub-broker/AP Name :

Group Code :

Terminal Code :

Driven By Knowledge

FOR OFFICE USE ONLY

CASH	F&O	CURRENCY	COMMODITY	DEMAT	SLB
<input type="checkbox"/> NSE	<input type="checkbox"/> NSE	<input type="checkbox"/> NSE	<input type="checkbox"/> NSE	<input type="checkbox"/> CDSL	<input type="checkbox"/> NSE
<input type="checkbox"/> BSE	<input type="checkbox"/> BSE	<input type="checkbox"/> BSE	<input type="checkbox"/> BSE		
			<input type="checkbox"/> NCDEX		
			<input type="checkbox"/> MCX		

INSTRUCTIONS/ CHECK LIST FOR FILLING KYC FORM

A. Important Points:

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

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

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

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

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

1. Passport/ Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

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

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

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 RI/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 up to 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 axed 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.

SEBI Registration No. INZ000180436, IN-DP-593-2021

Regd. Office: Block-B, 1st Floor, Siddhi Vinayak Towers, Makarba, Ahmedabad - 380 051.

Phone: +91 79 6666 9000 | Fax: +91 79 2970 2196 | Email: demat@kunvarji.com, info@kunvarji.com

DOCUMENTS TO BE RETAINED BY STOCK BROKER

	Date	Name	Signature
Audit 1			
Audit 2			
Phone Verification			
KYC Entry			
UCC Upload			
KRA Upload			

UCC Client Code: _____

BO ID: 12048400 _____

Exchange Name : National Stock Exchange Limited

Exchange ID : 12

	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 'Rights 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 our website, if any, for the information of the clients.

For Kunvarji Finstock Pvt. Ltd.



Authorise Signatory

Date :- ___/___/___

Introduced by:	<input type="checkbox"/> Another Constituent <input type="checkbox"/> Director <input type="checkbox"/> Employee of Trading member <input type="checkbox"/> Sub Broker <input type="checkbox"/> Any other Person (please specify) : _____
Name of the Introducer	First Name Middle Name Last Name
Signature	
UCC of the Introducer (if registered with the Trading Member)	

In case the Introducer is not registered with the Trading Member, kindly provide details of the introducer.

Introducer's PAN Number (Kindly enclose copy of PAN Card)	
Introducer's Address (Kindly enclose proof of address)	
Name of the employee : _____ (Name and designation of the employee who interviewed the client)	Signature of the employee

FOR OFFICE USE ONLY

Client risk categorisation under PMLA: (Tick (✓) any one) Low risk Medium risk High risk

INDEX OF DOCUMENTS

Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, EXCHANGES & CDSL			
1	KYC and Account Opening Form (For Trading and Demat Account)	A. KYC Form documents captures the Basic information about the client an instruction/checklist	3 - 16
		B. Document captures the Additional Information about the client relevant to Trading Account and Beneficial owner's account	
		C. Nomination form/ Declaration for opting out of nomination	
2	Tariff Sheet for Trading, Demat Account and MITC	A. Document provides details of rate / amount of brokerage and other charges levied on the client for trading on the Stock Exchange(s)	14
		B. Document provides details of charges for depository services	15
		C. Most important terms and conditions (MITC)	38
3	Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and depository	Document stating the rights and obligations of beneficial owner and Depository Participant for Demat Account as prescribed by SEBI and Depositories	Included in Client Copy
4	Rights and Obligations of stock broker and client	Document states the Rights & Obligations of the Stock Broker, Sub-Broker and Client for trading on exchanges (including additional rights & obligations in case of Internet / Wireless Technology based tradings)	
5	Risk Disclosure Document (ROD)	Document provides the details of risks associated while dealing in the Securities Market/Commodities Market	
6	Guidance Note	Document details Do's and Don'ts for trading and Demat Account for the education of the investors	
7	Policies & Procedures & Investor charter	Document describes significant policies and procedures of the Stock Broker	
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER AND DEPOSITORY PARTICIPANT			
8	Demat Debit and Pledge Instruction (DDPI)	Document authorizing KFPL for transfer of securities towards deliveries/settlement obligations and pledging/repledging of securities for margin.	16 - 17
9	Additional Clauses of Rights and Obligations of Stock Broker, Sub-Broker and client	Document states the additional Rights & Obligations of Stock Broker / Sub-broker / Authorised Person and client for trading on exchanges	18 - 21
10	Running Account Authorisation	Document authorises KFPL to maintain Client's Account on Running Account mode i.e. funds will be remitted only on his request	22
Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
11	Letter of Operation of Account	Various operative instructions to the stock broker for day to day operation of account of the client including authority for debit of depository charges	23
12	Letter giving details of Authorised representatives	Letter giving details of persons authorised by the client to interact with the stock Broker on His/Her its behalf	24
13	Declaration by Karta	Document for declaration by Karta & details of Coparceners for HUF	24
14	Acknowledgment and confirmation	Acknowledgment and confirmation	25
15	Authority letter to adjust collaterals against MTM loss	Letter authorizing Member – Broker to adjust MTM losses against collaterals maintained/deposited by the client with the Member – Broker	26
16	Undertaking to abide by Rules for position limits - Voluntary	Letter – Undertaking given by client to the Member – Broker that he/she/it will abide by Rules for position limits	26
17	Letter for Authorization for squaring off of open position	Authorization for squaring off of open position	27 - 28
18	Consent Letter	Consent for trading in Commodity Options	29
19	Additional Risk Disclosure documents for Options Trading	Additional Risk Disclosure documents for Options Trading	30
20	Information about Provisions of Prevention of Money Laundering Act, 2002 (PMLA)	Document provides a brief note on Prevention of Money Laundering Act. and Rules Included in client copy	included in Client Copy
21	FATCA-CRS Declaration	Details of ultimate beneficial owner including additional FATCA & CRS Declaration for Non-Individuals	31- 32

COLOR REPRESENT DOCUMENTS HANDED OVER TO CLIENT SYMBOL REPRESENTS APPLICANT SIGNATURE

F# =requires First Holder/Authorised Person Signature **S#** =requires Second Holder/Authorised Person Signature **T#** =requires Third Holder/Authorised Person Signature

Know Your Client (KYC)

Application Form (For Individuals Only)

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also



CDSL VENTURES LIMITED

...Exploring New Horizons



Application Number: _____

Application Type*: New KYC Modification KYC

KYC Mode*: Please Tick (✓)

Normal EKYC OTP EKYC Biometric Online KYC Offline EKYC Digilocker

1. Identity Details (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Maiden Name+ (if any) _____

Fathers/Spouse's Name* _____

Date of Birth* _____

Gender* Male Female Transgender

Marital Status* Single Married

Nationality* Indian Other _____

Residential Status* Resident Individual Non Resident Indian

Please Tick (✓) Foreign National Person of Indian Origin+

(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC. Select NRI or Foreign National based on Nationality of the individual)



F1

Cross Signature across photograph

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

A — Aadhaar Card XXXX XXXX ____ (Expiry Date) _____

B — Passport Number _____ (Expiry Date) _____

C — Voter ID Card _____ (Expiry Date) _____

D — Driving License _____

E — NREGA Job Card _____

F — NPR _____

Z — Others _____ (any document notified by Central Government)

Identification Number _____

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* Residential/Business Residential Business Registered Office Unspecified

Applicant Wet Signature

F2

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____
 Line 2 _____
 Line 3 _____
 City/
 Town/Village* _____ District* _____ Pin Code* _____
 State* _____ Country* _____
 Address Type* Residential/Business Residential Business Registered Office Unspecified


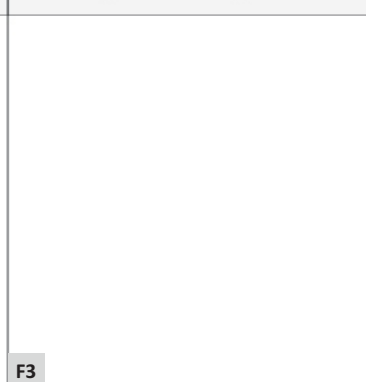
Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

A — Aadhaar Card XXXX XXXX ____ _
 B — Passport Number _____ (Expiry Date) _____
 C — Voter ID Card _____
 D — Driving License _____ (Expiry Date) _____
 E — NREGA Job Card _____
 F — NPR Letter _____
 Z—Others _____ (any document notified by Central Government)
 Identification Number _____


3. Contact Details (in CAPITAL)

Email ID* _____
 Mobile No. * _____
 Tel (off) _____ Tel (Res) _____

4. Applicant Declaration

<p>I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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.</p> <p>I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.</p> <p>I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.</p> <p>DATE: _____ (DD-MM-YYYY) PLACE: _____</p>	Applicant e-SIGN	Applicant Wet Signature
		

5. For Office Use Only

In-Person Verification (IPV) carried out by*	Intermediary Details*
IPV Date _____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) AMC / Intermediary Name : <div style="border: 1px solid black; padding: 2px; width: fit-content;">Kunvarji Finstock Pvt. Ltd.</div>
Employee Signature and Stamp	 Institution Name and Stamp

Know Your Client (KYC)**Application Form (For Non- Individuals Only)**

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

**CDSL VENTURES LIMITED**

...Exploring New Horizons



Application Number: _____

Application Type*: New KYC Modification KYC**1. Entity Details** (please refer guidelines)

PAN* _____

Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Date of Incorporation* _____

Place of Incorporation* _____

Date of Commencement* _____

Registration Number* _____

Entity Type*

 Private Ltd. Co. Public Ltd. Co. Body Corporate Partnership

Please Tick (✓)

 Trust/Charity/NGO HUF FPI Category I FPI Category II AOP Bank Government Body Defence Establishment Body of Individuals Society LLP Non-Government Organization Others _____**2. Proof of Identity+** (please refer the guidelines) Officially Valid Document(s) in respect of person authorized to transact Certificate of Incorporation/Formation _____ Registration Certificate _____ Memorandum of Articles and Association Partnership Deed Trust Deed Board Resolution Power of attorney granted to its manager, office, employees to transact on its behalf Activity Proof -1* (For Sole Proprietorship Only) Activity Proof -2* (For Sole Proprietorship Only)**3. Address Details*** (please refer the guidelines)**A. Registered Address***

Line 1* _____

Line 2 _____

Line3 _____

City/Town/Village* _____

District* _____

Pin Code* _____

State* _____

Country* _____

B. Correspondence/Local Address in India (if different from above)*

Line 1* _____

Line 2 _____

Line3 _____

City/Town/Village* _____

District* _____

Pin Code* _____

State* _____

Country* _____

Applicant Sign & Stamp

F4

Proof of Address* (attested copy of any one POA to be submitted—*Not more than 3 months old)

- Certificate of Incorporation/Formation Registration Certificate Other document _____
- Latest Telephone Bill* (Landline only) Latest Electricity Bill* Latest Bank Account Statement*
- Registered Lease/ Sale Agreement of Office Premises **Validity/Expiry Date of POA** (Expiry Date) _____
- Any other proof of address document (as listed overleaf) _____

4. Contact Details

Email ID _____ Mobile No. _____

Email ID _____ Mobile No. _____

Tel (off) _____ Fax _____

5. Annexures Submitted

Number of Related Persons -

6. Remarks / Additional Information

7. Applicant Declaration

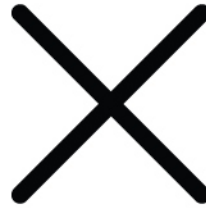
I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware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

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

DATE: ____ ____ ____ (DD-MM-YYYY)
PLACE: _____

Applicant Digital Signature (DSC)

Applicant Wet Signature



F5

8. For Office Use Only

KYC carried out by*

Intermediary Details*

KYC Date _____

Emp. Name _____

Emp. Code _____

Emp. Designation _____

- Self certified document copies received (Originals Verified)
- True Copies of documents received (Attested)
- AMC / Intermediary Name OR Code:
Kunvarji Finstock Pvt. Ltd.

Employee Signature and Stamp

Employee Signature and Stamp



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Know Your Client (KYC)
Annexure (For Non- Individuals Only)



CDSL VENTURES LIMITED
...Exploring New Horizons



Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked * are pertaining to CKYC and mandatory only if processing CKYC also

Application Number: _____

Application Type*: New KYC Modification KYC

1. Identity Details of Related Person (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Maiden Name* (if any) _____

Fathers/Spouse's Name* _____

Date of Birth* ____/____/____

Gender* Male Female Transgender

Nationality* Indian Other _____

Related Person Type*

Director Promoter Karta Trustee Partner Court Appointed Official Proprietor

Beneficiary Authorized Signatory Beneficial Owner Power of Attorney Holder

Others _____ (please specify) DIN: _____ (mandatory if the related person is Director)



F6

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

A — Aadhaar Card XXXX XXXX ____/____/____

B — Passport Number _____ (Expiry Date) ____/____/____

C — Voter ID Card _____

D — Driving License _____ (Expiry Date) ____/____/____

E — NREGA Job Card _____

F — NPR _____

Z — Others _____ (any document notified by Central Government)

Identification Number _____

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* Residential/Business Residential Business Registered Office Unspecified

Blank space for stamp or additional information

Applicant Wet Signature

F7

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____

Line 2 _____

Line3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* Residential/Business Residential Business Registered Office Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

A — Aadhaar Card XXXX XXXX ____ _

B — Passport Number _____ (Expiry Date) ____ _

C — Voter ID Card _____

D — Driving License _____ (Expiry Date) ____ _

E — NREGA Job Card _____

F — NPR Letter _____

Z—Others _____ (any document notified by Central Government)

Identification Number _____

3. Contact Details

Email ID _____

Mobile No. _____

Tel (off) _____ Tel (Res) _____

4. Applicant Declaration

I hereby declare that the details furnished above are true and correct to the best of my/our 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/We are aware that I/We may be held liable for it.

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

DATE: ____ _ (DD-MM-YYYY)

PLACE: _____


Applicant e-SIGN

Applicant Wet Signature



F8

5. For Office Use Only

KYC carried out by*	Intermediary Details*
KYC Date ____ _ Emp. Name _____ Emp. Code _____ Emp. Designation _____	<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) <div style="border: 1px solid black; padding: 2px; margin-top: 5px;">Kunvarji Finstock Pvt. Ltd.</div>
Employee Signature and Stamp	 Institution Name and Stamp

Know Your Client (KYC)
Annexure (For Non- Individuals Only)



CDSL VENTURES LIMITED
Exploring New Horizons



Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

Application Number:

Application Type*: New KYC Modification KYC

1. Identity Details of Related Person (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Maiden Name⁺ (if any) _____

Fathers/Spouse's Name* _____

Date of Birth* ____ - ____ - ____

Gender* Male Female Transgender

Nationality* Indian Other _____

Related Person Type*
 Director Promoter Karta Trustee Partner Court Appointed Official Proprietor
 Beneficiary Authorized Signatory Beneficial Owner Power of Attorney Holder
 Others _____ (please specify) **DIN:** _____ (mandatory if the related person is Director)

Applicant Photo
F9

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

A — Aadhaar Card XXXX XXXX _____

B — Passport Number _____ (Expiry Date) ____ - ____ - ____

C — Voter ID Card _____

D — Driving License _____ (Expiry Date) ____ - ____ - ____

E — NREGA Job Card _____

F — NPR _____

Z — Others _____ (any document notified by Central Government)

Identification Number _____

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* _____

Line 2 _____

Line3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* Residential/Business Residential Business Registered Office Unspecified

Applicant Wet Signature

F10

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____
 Line 2 _____
 Line3 _____
 City/Town/Village* _____ District* _____ Pin Code* _____
 State* _____ Country* _____
 Address Type* Residential/Business Residential Business Registered Office Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

A — Aadhaar Card XXXX XXXX ____ _
 B — Passport Number _____ (Expiry Date) ____ _
 C — Voter ID Card _____
 D — Driving License _____ (Expiry Date) ____ _
 E — NREGA Job Card _____
 F — NPR Letter _____
 Z—Others _____ (any document notified by Central Government)
 Identification Number _____

3. Contact Details

Email ID _____
 Mobile No. _____
 Tel (off) _____ Tel (Res) _____

4. Applicant Declaration

I hereby declare that the details furnished above are true and correct to the best of my/our 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/We are aware that I/We may be held liable for it.

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

DATE: ____ _ (DD-MM-YYYY)

PLACE: _____


Applicant e-SIGN

Applicant Wet Signature



F11

5. For Office Use Only

KYC carried out by*	Intermediary Details*
KYC Date ____ _ Emp. Name _____ Emp. Code _____ Emp. Designation _____	<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) <div style="border: 1px solid black; padding: 5px; text-align: center;">Kunvarji Finstock Pvt. Ltd.</div>
Employee Signature and Stamp	 Institution Name and Stamp

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

- Residence/Driving License/Flat Maintenance bill/Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FI/sub account, Power of Attorney given by FI/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, FIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

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

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

ADDITIONAL DETAILS FOR OPENING TRADING ACCOUNT (Individual / Non-Individual)

A. KRA REGISTRATION DETAILS:

I/We are registered with KRA YES NO

If Yes, I/We hereby authorise you to obtain details of my documents from KRA and use the same for the purpose of registration.

I/We hereby confirm that our details with KRA are accurate and updated.

B. BANK DETAILS:

Bank Name & Branch Address	Account Number	Account Type: (Strike off which ever is not applicable)	MICR Code#	IFSC code#
		SB / Current / NRE / NRO CC/OD/PIS		
		SB / Current / NRE / NRO CC/OD/PIS		

C. DEPOSITORY ACCOUNT DETAILS:

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)

D. TRADING PREFERENCE:

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

Exchanges	NSE & BSE				MCX, NCDEX, BSE & NSE
	Cash / Mutual Fund	F&O	Currency	SLB	Commodity Derivatives
F4	F4	F4	F4	F4	F4

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

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

E. PROOF OF FINANCIAL DETAILS (Attached any one of the below. Mandatory for trading in Derivatives Segments)

- ITR Acknowledgment
 Annual Accounts
 Net Worth Certificate
 Salary Slip
 Form 16
 Bank Account Statement (for last 6 months)
 Demat holding statement
 Self declaration
 along with relevant supporting
 Any other relevant documents substantiating ownership of assets

F. PROOF OF EXISTING DEMAT ACCOUNT:

- Client Master
 Latest Transaction / Holding Statement of Demat Account (please tick whichever is applicable)

G. DETAILS OF PAST REGULATORY ACTIONS:

Please provide details of any actions/proceedings initiated/pending/ taken by SEBI/ Stock Exchange/ any other authority against the applicant/constituent or its partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years (Use annexure for additional information, if required)

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H. DEALINGS THROUGH SUB-BROKER(S) / AUTHORISED PERSONS (APs) AND OTHER STOCK BROKER(S)

/ SUB-BROKERS / APs:

(A) If dealing through KFPL's Sub-broker / APs, please provide the following details: (SBs/APs to provide their prescribed details or affix their rubber stamp here)

Sub-Broker's Name			
Office Address			
SEBI Registration No.		Phone No.	

(B) If dealing through other Stock-brokers and/or their Sub-broker /APs, please provide the following details:

Stock-Broker's Name			
Sub-Broker / AP Name, if any			
Client Code		Exchange	
Details of disputes / dues pending from/to such Stock Broker/Sub-broker:			

I. ADDITIONAL DETAILS:

Whether you wish to receive	<input type="checkbox"/> Electronic Contract Note (ECN) which may be sent at your email id as stated in KYC OR <input type="checkbox"/> Physical Contract note		
Whether you wish to avail of the facility of Internet Trading	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
If Yes, whether you wish to avail facility of Mobile Trading	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Number of years of Investment / Trading Experience			
Any other information:			

J. CATEGORY OF CLIENT

Please select (✓) on the below appropriate category depending upon your proposed nature of your activity against category

Hedgers Processor/Miller Farmer Producer Organization (FPO) Farmer
Foreign participants Domestic financial Institutional investors Others _____

GST Number			
State			

K. CONSENT FOR RECEIVING SMS/EMAIL

KFPL communicates various reports, recommendations, trade related information etc. vide SMS, Calls or any other mode of communications to its clients with respect to trading/demat account, which are transactional in nature, which may also qualify as commercial/promotional communication as per TRAI Regulations. I/We hereby consents to receive all such calls and /or SMS from KFPL. I/We agree and confirms that such consent to receive all such calls and/or SMS from KFPL overrides the DNCR (DO NOT CALL REGISTER) registration which may have been opted by me/us at any point of time.

L. CONSENT FROM CLIENT

- If employee of other stock broker Yes No
- If yes, provide we copy of approval obtained from the employer.

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting or suppression of any material information, I am/we are aware that I/We may be held liable for it and render my account liable for termination and suitable action
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document' and 'Guidance Note'. 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 KFPL's designated website.
4. I/We have received documents mentioned in index of index of documents of this Account Opening Form
5. I/We confirm that I/We have been informed that Kunvarji Finstock Pvt. Ltd. is engaged in proprietary trading. i.e, trading is security market on its own account.

In case non-resident account, I/we also declare that i/we have complied and will continue to comply with fema regulations.

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

Place : _____

Date :- ___/___/___

COMMON DETAILS FOR INDIVIDUAL AND NON-INDIVIDUAL DEMAT A/c

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my / our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/ We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	
I / We wish to receive dividend / interest directly in to my bank account given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We wish to receive Delivery Instruction Slip at the time of Opening Account	<input type="checkbox"/> Yes <input type="checkbox"/> No

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)										
IFS Code (11 character)										
Account number										
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> CC/OD <input type="checkbox"/> Others (specify) _____									
Bank Name					Branch Name					
Bank Branch Address										
City:	State:	Country:				PIN code				

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
- (ii) Photocopy of the Bank Statement having name and address of the BO
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank.

In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present/ mentioned on the document.

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	MOBILE NO. As Stated in this KYC / KRA [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).		
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure - 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No		
	I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST		
	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)

Easi	To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.
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	Sole / First Holder / Authorised Signatory	Second Holder / Authorised Signatory	Third Holder / Authorised Signatory
Name			
Signature	F16	S3	T3

13	Relationship of Guardian with nominee			
14	Guardian Identification details - [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
Name(s) of holder(s)				Signature(s) of holder*
Sole / First Holder (Mr./Ms.)				F18
Second Holder (Mr./Ms.)				S5
Third Holder (Mr./Ms.)				T5

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

Note :

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

Declaration Form for opting out of nomination

[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

Kunvarji Finstock Pvt. Ltd. Regd. Office: Block-B, 1st Floor, Siddhi Vinayak Towers, Makarba, Ahmedabad - 380 051.		(To be filed in by individual applying singly or jointly)														
		DP ID	1	2	0	4	8	4	0	0						
Date	D	D	M	M	Y	Y	Y	Y	UCC Code							
Sole/First Holder Name																
Second Holder Name																
Third Holder Name																
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.																
Name and Signature of Holder(s)*																
F19		S6					T6									

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

TARIFF SHEET FOR TRADING ACCOUNT

Equity	1 st Leg		Default 1 st Leg		2 nd Leg (same day)		Default 2 nd Leg	
	%age	Min.	%age	Min. (Rs)	%age	Min.	%age	Min. (Rs)
Intraday Cash			0.10%	0.10			0.10%	0.10
Delivery			1%	0.10			1%	0.10
Future			0.10%	0.10			0.10%	0.10
Index Options (Per lot)			2.5 %	100 Rs.			2.5 %	100 Rs.
Stock Options (Per lot)			2.5 %	100 Rs.			2.5 %	100 Rs.
SLB	20% of Lending fees.							
Contract Minimum Brokerage	Rs. 25/- subject to limit of amount computed at maximum permissible rate of brokerage							

Currency Derivatives	1st Leg		Default 1st leg		2nd Leg		Default 2nd leg	
	%age	Min.	%age	Min. (Rs)	%age	Min.	%age	Min. (Rs)
Future			0.10%	0.10			0.10%	0.10
Option (per lot)			2.5%	100 Rs.			2.5%	100 Rs.

Commodity Derivatives	1st Leg		Default 1st leg		2nd Leg		Default 2nd leg	
	%age	Min.	%age	Min.	%age	Min.	%age	Min.
Future			0.05%	100 Rs.			0.05%	100 Rs.
Settlement Auto Squarre-o for Futures			0.05%	100 Rs.			0.05%	100 Rs.
Option (per lot)			2.5%	100 Rs.			2.5%	100 Rs.
Settlement Auto Squarre-o for Options			2.5%	100 Rs.			2.5%	100 Rs.
Delivery Brokerage			0.20%			-	-	

INSTRUCTIONS

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

Copy of ITR Acknowledgement In case of salary income - Salary Slip, Copy of Form 16 Copy of demat account holding statement more than value of Rs. 50000/- 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.
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Note:

- The brokerage rate filled-up in this tariff sheet is per share and not on the total turnover of the client for the day in respective segment. In case of decimal higher than 2 digits, the same will be rounded up to higher 2 decimal rate while computing brokerage.
- If Brokerage rates are not filled up by the client, the client will deemed to have agreed to default brokerage rates as mentioned above.
- KFPL reserves the right to change tariff charges mentioned herein above from time to time with 30 days prior information to client.
- The client authorises Kunvarji Finstock Pvt. Ltd Stock Broker to recover demat charges payable to KFPL DP by debit entry in sale bill and/or by debit to his ledger account.
- All statutory and regulatory charges will be levied at actuals. For Commodity, Delivery Transaction are subject to GST /TAXES as Applicable
- Transaction charges, STT, GST, Stamp duty, SEBI Fees etc. at actual.
- The Stock Broker may require additional documents as per its RMS policy.

F20
Signature of Client
Place: _____

Date: ___ / ___ / ___

TARIFF PLAN - BSDA / Normal / Lifetime AMC Free

Sr No.	Description of charges	<input type="checkbox"/> Basic Service Demat Account*	<input type="checkbox"/> Yearly AMC Account	<input type="checkbox"/> Lifetime AMC Free Account
1.	Account Opening Charges	NIL	NIL	NIL
2.	Agreement Charges (One Time)	Rs.20/-	Rs.20/-	Rs.20/-
3.	Lifetime Maintenance Charges - individual / NRI (One Time)	Not Applicable	Not Applicable	Rs.999/-
4.	Annual Maintenance charges - individual / NRI	(1) Nil for holding < Rs. 50,000/- (2) Holding from Rs.50,001/- to Rs.200,000/- AMC of Rs.100/- (3) Holding > Rs.200,000/- yearly AMC account tariff applicable	Rs.200/-	Not Applicable
5.	Annual Maintenance charges - corporate	Not Applicable	Rs.1000/-	Not Applicable
6.	On-Market Transfer-per instruction	Rs.100/-	Rs.15/-	Rs.20/-
7.	Margin Pledge Charges per Script	Rs.20/-	Rs.15/-	Rs.15/-
7. A	Release of Margin Pledge per Script	Rs.20/-	Rs.15/-	Rs.15/-
8.	Cuspa Pledge/Unpledge Charges per script	Rs.20/-	Rs.15/-	Rs.15/-
9.	Off Market/Inter-Depository Transfer-per instruction	Rs.100/-	Rs.20/-	Rs.50/-
10.	Same Day Pay-in(late fees) - per instruction	Rs.200/-	Rs.30/-	Rs.100/-
11.	Demat Charges - per certificate	Rs.30/- subject to minimum Rs. 100/-	Rs.30/- subject to minimum Rs. 100/-	Rs.30/- subject to minimum Rs. 100/-
12.	Remat Charges - per instructions	Rs.100/- or actual whichever is higher	Rs.100/- or actual whichever is higher	Rs.100/- or actual whichever is higher
13.	Pledge Charges - per instruction (a) Creation (b) Closure (c) Invocation	Rs.100/- Rs.100/- Rs.100/-	Rs.25/- Rs.25/- Rs.25/-	Rs.100/- Rs.100/- Rs.100/-
14.	On Demand :- Additional Holding / Transaction	Rs.25/- (from third instance in a year)	Rs.5/- per page subject to minimum Rs. 10/-	Rs.5/- per page subject to minimum Rs. 10/-
15.	New DIS book issue charges	Rs.100/-	Rs.30/-	Rs.50/-
16.	KRA Charges per PAN(One Time)	Rs.50/-	Rs.50/-	Rs.50/-

- Note:**
- We reserve the rights to change the service charges with 30 days prior notice.
 - All instructions for the market Transfer must be received at least 24 hours prior to the execution date, late instructions would be accepted at the account holder's sole risk and responsibility.
 - Taxes & other Government levies will be charged extra as applicable.
 - Out of india courier/postage charges would be recovered from account holder's.

Wish to opt Rajiv Ghandi Equity Savings Scheme: Yes No

I/we wish to avail BSDA facility : Yes Opted out (if Yes.selection of BSDA Demat Account scheme by applicant/s compulsory)

* If I/We am/are found to be not eligible for BSDA scheme due to non-fulfillment of criteria prescribed by SEBI, then the default scheme applicable shall be Yearly AMC

F21

**First Holder /
Authorised Person's Signature**

S7

**Second Holder /
Authorised Person's Signature**

T7

**Third Holder /
Authorised Person's Signature**

Demat Debit and Pledge Instruction (DDPI) (VOLUNTARY)

I/We, the client(s) mentioned herein below, holding BO ID 12048400_____ authorize the Stock Broker and Depository Participant M/s. Kunvarji Finstock Pvt. Ltd. (KFPL) to access our BO account for the limited purpose of meeting pay-in obligations for settlement of trades executed by me/us.

I/We, the client(s) mentioned herein below, authorize the Stock Broker and Depository Participant M/s. Kunvarji Finstock Pvt. Ltd. (KFPL) to pledge securities held in my/our BO account to the Stock Broker for limited purpose of meeting my/our margin obligations in connection with my/our trades executed on recognized Stock Exchange(s) through KFPL and to further repledge the same by KFPL in favour of Clearing Corporation/ Clearing Member as may be required for the purpose of meeting my/our margin obligation(s).

These instructions shall continue to be valid and operative until it is revoked by me/us in writing by sending such revocation letter in hard copy to the registered office of KFPL duly signed by me/us. The revocation instruction shall be operative from the next working day after the same is received by KFPL at its registered office in hard copy.

I/We understand that providing this DDPI is voluntary on my/our part and there is no compulsion for me/us to sign the same. I/We declare that, I/we have signed the same voluntarily on our own volition.

The details of the settlement accounts of KFPL to which securities towards settlement obligation may be transferred.

Demat Account Number	Exchange & Segment	Account Type	Transfer for the purpose of
1204840000000896	BSE Cash	CDSL Pool Account	PAY IN
1204840000000902	NSE Cash	CDSL Pool Account	PAY IN
1204840000138644	NSE SLB	CDSL Pool Account	PAY IN
1204840000141013	BSE SLB	CDSL Principal Account	PAY IN
1204840000141028	BSE SLB	CDSL Pool Account	PAY IN
IN30012611197687	NSE Cash	NSDL Pool Account	PAY IN
IN30012611202856	BSE Cash	NSDL Pool Account	PAY IN
1100001000015789	BSE Cash	CDSL Early Pay In Pool Account	EARLY PAY IN
1100001100016360	NSE Cash	CDSL Early Pay In Pool Account	EARLY PAY IN
1100002300000256	NSE SLB	CDSL Early Pay In Pool Account	EARLY PAY IN

Demat account to which securities can be Pledged for the purpose of Margin Pledge:

Demat Account Number	Exchange & Segment	Account Type
1204840000429691	All Exchanges – All Segments	TM/CM Clients Securities Margin Pledge Account
1204840000424125	All Exchanges – All Segments	CM-Clients Securities Margin Pledge Account
1204840000425741	All Exchanges – All Segments	TM- Clients Securities Margin Pledge Account
1204840000426059	All Exchange / Segments	TM-Client Securities Margin Pledge Account

Demat Debit and Pledge Instruction

Sr. No.	Purpose			
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker			
	First/Sole Holder/Karta (if HUF) or Guardian (in case of minor)	Second Holder (If HUF Coparcener)	Third Holder (If HUF Coparcener)	If HUF, Coparcener
Name				
Signature**/**	F22	S8	T8	
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange. Any other transactions that may be allowed by SEBI/CDSL from time to time.			
	First/Sole Holder/Karta (if HUF) or Guardian (in case of minor)	Second Holder (If HUF Coparcener)	Third Holder (If HUF Coparcener)	If HUF, Coparcener
Name				
Signature**/**	F22	S8	T8	
3.	Mutual Fund transactions being executed on stock exchange order entry platforms (applicable from 18.11.2022)			
	First/Sole Holder/Karta (if HUF) or Guardian (in case of minor)	Second Holder (If HUF Coparcener)	Third Holder (If HUF Coparcener)	If HUF, Coparcener
Name				
Signature**/**	F22	S8	T8	
4.	Tendering shares in open offers through Stock Exchange platforms (applicable from 18.11.2022)			
	First/Sole Holder/Karta (if HUF) or Guardian (in case of minor)	Second Holder (If HUF Coparcener)	Third Holder (If HUF Coparcener)	If HUF, Coparcener
Name				
Signature**/**	F22	S8	T8	

Accepted by

Kunvarji Finstock Pvt. Ltd.	Signature:
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Note:

1. If the account holder is HUF, all coparceners under stamp of HUF should sign.
2. In case of corporate account, the authorized signatory / director as per the resolution submitted should sign with stamp of the company.
3. In case of partnership firm, since the demat account is in the name of partners all partners should sign without stamp of the partnership firm.

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB BROKERS AND CLIENTS - (VOLUNTARY CLAUSES)

In addition to the above, the parties hereby agree to the below mentioned :

1. Authorisation for Debit: Without prejudice to any other clause of this document and/or the general terms and conditions, the client understands and agrees that the Stock Broker may charge additional financial charges according to the Rules, Bye-laws and Regulations of the relevant exchange and usual custom of the market for any extra services rendered by the Stock Broker and as required by the client, or for such extra reasonable costs, including legal fees, incurred by the Stock Broker for collecting the dues payable by the client to Stock Broker, an exchange, clearing corporation/ clearing house, any agent or sub-broker of the Stock Broker and/or any other individual, partnership, corporation, company, organisation, association, trust or other entity acting for or on behalf of the Stock Broker.
2. In case where the payment by the client towards margin is made through cheque / pay order / demand draft issued in favour of Stock Broker, any trades would be executed by the Stock Broker only upon the realization of the funds of the said cheque / pay order/ demand draft, or at the discretion of the Stock Broker
3. The client hereby unconditionally, absolutely, and irrevocably undertakes to pay immediately any amount due and payable on being called upon to do so, merely on a demand in writing or otherwise from the Stock Broker stating that the amount has become due and any such demand made on the client shall be conclusive as regards the amount due and payable by the client.
4. The Stock Broker shall appropriate any credit balance available in client account or any payment received from client or any credit received in client ledger due to sale of securities or otherwise, first against the brokerage, transaction charges and any other charges (on which GST is charged) due from the client for his/her/its transactions. Any credit balance available thereafter shall be appropriated against dues towards MTM losses, purchase consideration of securities, Government taxes and SEBI fees, in that order.
5. Lien: All the securities and /or properties placed with the Stock Broker shall be subject to a lien for the discharge of any and all indebtedness or any other obligation that the client may have to Stock Broker. All of the client's securities and/ or other property shall be held by the Stock Broker as security for payment of any such obligation or indebtedness to Stock Broker. In enforcing its lien, Stock Broker at its sole discretion may determine which securities and / or other properties are to be sold or which contracts are to be enforced. The client, by executing Power of Attorney in favour of the Stock Broker in respect of his/her/its demat account with Kunvarji Finstock Pvt. Ltd. Depository Participant and availing margin or exposure limit against securities held in his/her/its said demat account, authorises the Stock Broker to withdraw securities from client's demat account and place such securities with the Stock Broker as margin or collateral.
6. I/We are aware and agree that as per the SEBI circular no. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2022/153 dated November 11, 2022 that the stock broker shall transfer the securities bought by the client received in pay-out, to client's demat account within one working day if clear payment is received from the client and if the client fails to make the payment in full then the stock broker shall transfer the securities to respective client's Demat account followed by creation of an auto-pledge (i.e., without any specific instruction from the client) with the reason "unpaid", in favour of a separate account titled – client unpaid securities pledgee account (CUSPA) on T+1 day. The client further agrees and confirms that, the securities kept in the CUSPA shall either be Unpledged to client's demat account upon fulfillment of client's funds pay-in obligation or it shall be disposed of in the market by the stock broker within 5 trading days after the date of pay out to the extent of debit balance in client's ledger account with the stock broker and/or as per stock broker's Risk Management policy and balance securities shall be unpledged / Transfer to the respective client's demat account. Any profit/loss occurred on such sale transactions of unpaid securities, will be borne by client's and transferred to/ adjusted in client's ledger.
7. The Client agrees & authorise the Stock Broker to instruct the concerned Depository Participant to block any security sold from the designated security account against his order or the order of his power of attorney holder to sell securities. If their order gets executed either fully or partially then the securities sold would be transferred to the Stock Brokers Account. The Client further agrees and confirms that the Client will not pledge or otherwise any security that has been blocked by the concerned Depository Participant on the instructions of the Stock Broker, the Client or by its power of attorney holder at any time, and the Client authorise the Stock Broker to instruct the concerned Depository Participant on Client's behalf to dishonor any such instructions.
9. The client agrees that each participating Exchange or association or agency that supplies any data to be displayed on the website asserts a proprietary interest in all of the market data it furnishes to parties that disseminate the said data. Neither the Stock Broker nor any agency or any supplier of market data guarantees the timeliness, sequence, accuracy, completeness, reliability or content of market information, or messages disseminated to or by the party. The services of Stock Broker are provided on an "as available" basis without warranties of any kind, either express or implied, including, without limitation, those of merchantability and fitness for a particular purpose.
10. The Stock Broker has, for online trading system, back office processing and internet and mobile trading system provided

to clients, opted to use services of third party software vendors' hardware systems, cloud service providers and various modes of connectivity through internet as well as leased line etc. The Stock Broker has no control over functioning of such components or composite systems.

Neither the Stock Broker nor any other party disseminating any data, message, information, confirmations, display of booked or un-booked profit or loss, open positions, security description etc. through website or mobile application or trading software front end application, or any auto-generated message transmitted through SMS or any mobile app, shall be liable for any inaccuracy, error, omission, delay in transmission or delivery or stoppage of Such data, information, message, confirmation, display of booked or un-booked profit or loss, open positions, security description etc, or any consequential loss or damage arising therefrom. Neither the Stock Broker or any other party shall be liable for any consequential loss or damage arising to any person due to any such inaccuracy, error, delay, incorrect information or projection in any data, message, information, confirmations, display of booked or un-booked profit or loss, open positions, security description etc. The client relying on such data, information, message, confirmation, display of booked or un-booked profit or loss, open position or security description etc. displayed through website, mobile application or trading software front end application or any auto-generated message transmitted through SMS or mobile app, shall do so at his/her/its sole cost and risk.

11. The Client acknowledges that the Stock Broker shall neither be under any obligation to provide the Client with any tax, legal, accounting investment advice or advice regarding the suitability or profitability of investment of any kind, nor do the Stock Broker give any advice or give any opinion with respect to the nature, potential value or suitability of any particular transaction or investment strategy. The client acknowledges that the employees of the Stock Broker or the Stock Broker himself are not authorised to give out any advice and the clients shall at all times be responsible and liable for his own actions / inaction. The client may be able to access investment research reports through the internet from the web-site, including computerised on-line service or physical copy. The availability of such information does not constitute a recommendation to buy or sell any of the investment products. Any investment decision will be based solely on the clients own evaluation of financial circumstances and investment objective. Any real-time quotes provided are only for the clients own use and the client shall not furnish such data to any other person or entity.
12. The Client is authorised to use materials which are made available by the Stock broker, or of other third parties at the Stock Broker's website for client's own parties at the Stock Broker's website for client's own needs only in accordance with the terms and conditions specified for such usage, and Client is not authorised to resell access to any such materials or to make copies of any such materials for sale or use by others. Client will not delete copyright or other intellectual property rights notices from print outs of electronically accessed materials.
13. The Client shall, at all times, be responsible for the Investment decisions and/or orders placed or applications preferred by the Client either electronically or otherwise. The Client shall neither hold nor seek to hold the Stock Broker or any of its Directors, officers employees, agents or aliates, liable for any loss including but not limited to the trading losses incurred by the Client. The Client understands that the placing of the order with the Stock Broker electronically or otherwise does not guarantee execution of the said order or the acceptance of the application. Though orders will generally be routed to the exchange's computer systems within a few seconds from the time the order is placed by the Client to the Stock Brokers trading system, the Stock Broker shall not be liable for any delay in the execution of any order or any resultant loss on account of that delay. The Stock Broker shall not be deemed to have received any order electronically or application unless it has confirmed the same.
14. Incase of a market order the Client agrees that he/she/it will receive the price at which the order has been executed by the exchanges computer systems and such price may be different from the price at which the security is trading when his/her/its order is entered into the Stock Brokers trading system.
15. The client hereby agrees that Stock Broker or the exchanges shall not be liable for non-execution of any order caused due to suspension, interruption, non-availability or malfunctioning of the online as well as offline trading service or the exchange system or services for any reasons whatsoever.
16. The client is aware that Stock Broker may tape record the conversation between the client / client's representative and the Stock Broker either directly or over the telephone, and hereby specifically permits the Stock Broker to do so. Such recording may be relied upon by the Stock Broker as valid evidence as and when required.
17. The Stock Broker may, however, assign their rights and obligations to any third person without the prior consent of the client.
18. The rights and obligation of stock brokers, sub brokers and clients can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of these document.
19. SEVERANCE: In case any one or more of the provisions contained in this document becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired there to.
20. WAIVER: No forbearance, relaxation or inaction by any party at any time me to require the performance of any provision of this document shall in any way affect, diminish or prejudice the right of such party to require the performance of that or any other provision of this document or be considered to be a waiver of any right, unless specifically agreed in writing .

21. NOTICES: All notices or communications issued under this document shall be served in any one or more or all of the following ways and such notice or communication under (i) to (xii) below shall be served at the ordinary business address and / or ordinary place of residence and / or last known address of the client in any one or more of the following ways.
- i) by post
 - ii) by registered post
 - iii) under certificate of posting
 - iv) by express delivery post
 - v) by telegram
 - vi) by axing it on the door at the last known business or residential address
 - vii) by oral communication to the party or on the last known telephone number or on the recording machine of such number
 - viii) by advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated
 - ix) by sending a message through trading system x) by notice posted on the notice board of the Exchange if no address be known
 - xi) by electronic mail or fax
 - xii) by hand delivery
22. Clauses for communication of margin report, ledger account etc. through email:
- A. As per the authorisation provided by the client to receive contract notes in electronic form by email, the client also authorised the stock broker to send all communication including statement of account, margin report and any other communication by email sent to the client on his registered email id. The clauses in mandatory document relating to bounced email will be applicable.
 - B. The client is aware that the stock broker has established systems which enable the clients to access in secured manner their own contract notes, ledger account and other reports through internet by logging into website of the stock broker i.e. www.kunvarji.com
 - C. In case where the stock broker is not able to provide these documents to the client through email due to any reason, the stock broker shall ensure that such documents shall be sent to the client in physical form as per the time schedule stipulated in Bye-laws, Rules and Regulations of the Stock Exchange.
 - D. The client shall take all the necessary steps to ensure confidentiality and secrecy of his own login name and password. Unless the client lodges a complaint with the stock broker as to his inability to access the system, it would be presumed that all the communications sent by email by stock broker to the client have been properly delivered.
 - E. In case where the stock broker is not able to provide contract notes and other documents to the client through internet due to any unforeseen problem the stock broker shall ensure that, the contract note(s) and other documents reach the client in physical form as per the time schedule stipulated in Byelaws, Rules and Regulations of the Stock Exchange.
- F. The Client shall take all the necessary steps to Ensure confidentiality and secrecy of the login name & password. Unless the Client lodges a complaint with the Stock Broker as to his inability to access the system, it would be presumed that contract notes and all other documents have been properly delivered.
23. Offline placement of orders for squaring-up open position in case of extreme volatility
- A. The company accepts orders for executions of trades from its online clients either through IBT system/software or mobile application provided by the stock broker. In case of any connectivity or system related issue at client end, such client are provided telephone number and email id of dedicated dealing desk where they are required to place their orders in offline mode. In case of offline clients placing their orders for execution through dealers assigned to each such client are required to call such dealer on the phone number of such dealer or to send order by email to the email id of such dealer.
 - B. Order placed by clients by making phone call to any phone number belonging to the company or its other employees or by sending email to any other email id of the company shall not be considered valid placement of order and the company or receiver of an employee of the company of such phone call or email shall have no obligation to entertain or act upon such order. The company shall not be bound to take cognizance of such orders.
 - C. If the client is not able to connect to such dedicated dealer assigned to such client, the client can place his order in offline mode by calling up mobile number 7567233233 or by sending order through email in clear and cogent manner to dealing@kunvarji.com. The stock broker has implemented systems and processes for continuous attendance of this mobile number and email id. The company shall attempt to place such order as early as possible. The receipt of such order does not guarantee its execution as the same is dependent upon several factors beyond the control of the company.
24. The client is informed that this document is also displayed by the stock broker on his website www.kunvarji.com as modified and amended from time to time.
25. Deliveries:
- (i) The client will be responsible for providing information for the purposes of giving/taking delivery against his net open position along with information required for giving/taking delivery within the period stipulated as specified by the Exchange from time to time.
 - (ii) The client shall coordinate with the Member – Broker to fulfill the requirements specified by the Exchange for giving/receiving delivery pursuant to matching of delivery intentions and/or open positions during tender period in accordance with delivery obligations assigned by the Exchange.

- (iii) The client shall, upon assigning of delivery obligations by the Exchange in accordance with prescribed procedure, give/receive delivery of commodities in the mode and manner prescribed by the Exchange within time specified by the Exchange.
- (iv) The client shall comply with laws relating to value added tax/sales tax of State and Central Government as may be applicable to delivery transactions and other laws relating to stock limit or declarations or any other requirements prescribed by any of the State laws or laws of Central Government.
- (v) The client shall furnish details of his/her/its VAT registration, CST registration and any other registrations required while ed and amended from time to time. receiving or giving delivery of commodities. The client shall furnish VAT invoice, Sales Tax exemption or concession forms where required promptly and within the prescribed schedule in accordance with Exchange Rules in this behalf. Wherever the client is required to receive Tax invoice, the client shall take care to ensure that the same is received in due course.
- (vi) The penalty for failure to give or take delivery of commodities as levied by the Exchange including any loss or damages suffered by the Member – Broker shall be borne by the client.

26. Delayed payment charges: Without prejudice to any other rights of the Member – Broker to recover outstanding dues from the client and to square off open positions of the client for delay in payment or non payment, the Member – Broker shall have authority to charge delayed payment charges for dues from the client including dues for margin, MTM loss or receipt of delivery at the rate of 18% per annum for each day till such dues are paid.

27. The client shall have right to revoke any of the authorisation granted to the Member – Broker through this document by sending a written communication duly signed at the registered office of the Member – Broker.

28. Neither the Member - Broker nor any other party disseminating any data/message/information through the Website shall be liable for any inaccuracy, error, omission or delay in the transmission or delivery of:

- (1) Any such data, information or message, or (2) Any loss or damage arising from or occasioned by (i) Any such inaccuracy, error, delay or omission, (ii) Non-performance, or (iii) Interruption in any such data, information or message, due to either any act or omission by the Member - Broker or any disseminating party or to any "force majeure" (e.g flood extra ordinary weather condition, earthquake or other act of nature

fire, war, insurrection, riot, labour dispute, accident, action of government, communications, power failure equipment or software malfunction) or any other cause beyond the reasonable control of the Member - Broker or any disseminating party.

29. As per SEBI circular No. SEBI/HO/MRD2_DCAP/CIR/2021/0598 dated 20.07.2021 and circulars issued by Stock Exchanges & Clearing Corporations pursuant thereto, the requirement of maintenance of collateral to meet margin obligation in such a manner that at least 50% of such collateral is in the form of cash /FD or Cash Equivalent securities at each client level. Thus, clients who are providing collaterals in the form of non-cash component (approved securities through margin pledge) are required to maintain at least, 50% of their collateral in cash/FD or cash equivalent securities as approved by respective clearing corporation through margin pledge. In case of the client not maintaining such ratio of collateral between cash collateral and non cash collateral such that at least 50% is in the form of cash collaterals, then KFPL will charge delayed payment charges (DPC) at the rate of 18% p.a. computed daily basis together with applicable GST.

30. The SEBI Circular No. SEBI/HO/MRD2_DCAP/CIR/2021/0598 dated 20.07.2021 and circulars issued by Stock Exchanges & Clearing Corporations pursuant thereto, also specify that each client's margin utilization will be subject to RISK REDUCTION MODE upon utilization of 90% of the available collateral. The margin utilization above 90% of the client's eligible and available collateral will be blocked by Clearing Corporations from the proprietary funds (own funds) of KFPL. KFPL reserves right to charge DPC at the rate of 18% p.a. plus GST to client in case the margin utilization by client exceeds 90% of the available collateral placed by such client. Besides, KFPL reserves its rights to restrict margin usage by clients to 90% of the value of available eligible collateral of the clients.

F23

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

ALL EXCHANGES RUNNING ACCOUNT AUTHORISATION - VOLUNTARY

1. In order to facilitate operations, I/we authorize you the Stock Broker to maintain a running account with you, instead of settlement to settlement clearance of funds due to me/us. This authorization is valid and applicable for my/our client account(s) with you for each segment and each Exchange where I/we have opened my/our trading account(s).
2. The pay out of funds may be retained by you and no interest shall be payable by you on such funds so retained. I/We authorised you to appropriate such retained funds to meet our obligations for margin or for settlement across exchanges, segments and settlements. Only on my/our written request(s), you shall make payment out of my/our credit balance(s) to the extent of unencumbered credit balance(s).
3. I/We authorise you to transfer my/our debit/credit balances in my/our ledger accounts for different segments and for different Exchanges inter se. Such transfer may be affected by journal entry or by actual transfer of funds as may be required.
4. I/We also authorize you to consider the funds so retained by you towards collateral margin for allowing enhanced trading limit to me/us.
5. I/We agree that you shall not be liable for any claim for loss of profit, or for any consequential, incidental, special or exemplary damages, caused by retention of such funds under these instructions or otherwise.
6. I/We authorise you to debit and recover depository charges payable by me/us for depository services rendered by you as DP of CDSL in respect of my/our beneficiary account(s), out of funds held in my/our client ledger account(s) in any segment/Exchange.
7. **VALIDITY:** These instructions are valid until the same are revoked by me / us through written communication.
8. I opt for : Monthly Settlement
 Quarterly Settlement
9. **QUARTERLY / MONTHLY SETTLEMENT:** I/We understand that, as per regulations, Client's ledger account with Stock Brokers is required to be settled to zero once in every month or once in every quarter depending upon the preference indicated by the client. I/We request you to settle our ledger account zero once in every quarter, for all segments taken together or on different dates for different settlements as may be feasible. You may retain such amount of funds as would be required to meet obligations on open positions as on the date of settlement and for settlement obligations or

margin obligations for ensuing 5 days. I/We undertake to inform you in writing any discrepancy that I/we may find in statement of account(s) and statement of securities forwarded to me/us pursuant to such settlement(s), within 7 days from the date of receipt of such statements.

10. **REVOCATION:** I/We understand that, I/we have right to revoke this authorization at any time by sending a written communication to that effect to you.

Yours faithfully,

F24

**Signature of Client /
(all) Authorised Signatory (ies)**

Note:

The above clause shall not be applicable if I/We have not executed any transaction during the quarter for which such quarterly / monthly settlement is required to be done.

LETTER OF OPERATION OF ACCOUNT VOLUNTARY

I. Order

1. I/We shall be giving verbal instructions for placing/modifying/cancelling my/our orders for trade executions, payout instructions etc. over telephone or in person and the same shall be binding to me/us.
2. I/we do not require order confirmation/ modification/cancellation slip or trade confirmation slip generated by the trading system.

II Communication

In case of any document/ledger/account position/transaction reports etc. are required by me/us, I/we shall obtain the same from your officers or get it collected through our representative. I/we am/are aware that you have installed systems and software which enable me/us to access my/our account details/ transaction reports and all matters pertaining to my/our account through internet in a secured manner using our user id and password. **This instruction does not amount to waiver of requirement of sending monthly account statement etc. as per 'rights and obligations of members, authorised persons and clients'.**

III Other Instructions

1. I/We understand that errors might be committed by dealers/ computer operators resulting in punching of wrong client codes while making order entry. Exchange rules provide for modification for such wrongly entered client codes to correct client codes. I/we undertake to sign such papers/documents as may be required for the purpose of authentication for client code modification as and when required.
2. My/our funds lying with you may be used for the purpose of depositing the same with the exchange for the purpose of margin or placing FDR with banks which may be submitted to the exchange/ clearing corporation for margin or used as collateral for obtaining bank guarantees for meeting margin/ additional base capital requirement of exchange/ clearing corporation.
3. I/we agree that you are authorised to charge delayed payment charges for over due amount @ 1.5% per month.
4. I/We undertake to execute my/our own sale purchase transactions in securities through you and shall not act as unregistered intermediary. I/We shall intimate to you changes in my/our address details, bank details, demat account details etc. as soon as possible.
5. You are authorized to debit and recover charges for depository services from my/our bills, ledger of any Exchange or segment.
6. I/We opt to receive contract notes, margin statement, ledger and other account reports, reports at the time of quarterly account statement, depository transaction and holding statement and other communications on my email id which is provided in client registration form, authenticated by means of digital signature obtained from certified authority designated under the Information Technology Act,2000
7. I/We agree that, in case of I/we availing margin limit or exposure limit against securities held in my/our demat account with Kunvarji Finstock Pvt. Ltd. Depository Participant, I/we hereby authorise you to Repledge the securities Pledged by me/us with you to Clearing Corporation / Clearing Member for my / our margin obligation.
8. I/we undertake to keep my trading account with you appropriately updated with my/our 6 KYC attributes.
9. I/We authorize you to use commodities and securities deposited by me/us with you to further use the same for meeting margin/additional capital requirements of the Exchange/clearing member by pledging or depositing the same in any manner as may be required.

F25

**Signature of Client /
(all) Authorised Signatory (ies)**

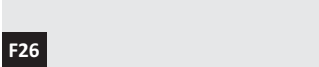
LETTER FOR AUTHORISED REPRESENTATIVES - ALL EXCHANGES - VOLUNTARY

Kindly find below a list of authorized representative to represent me/us, their authority including but restricted to

1. Placing/ modifying/ cancelling orders on my/our behalf.
2. Acknowledging contract notes issued by you to me/us for our trades.
3. Communicating changes in my/our KYC details.
4. All other communications from me/us to you.

Sr. No.	Name of the representative	Signature	Relation, if any
1.			
2.			
3.			
4.			

Thanking you,



F26
Signature of Client /
(all) Authorised Signatory (ies)

DECLARATION BY KARTA

I, _____ (Name of the Karta) the Karta of _____ Hindu Undivided Family (HUF) do hereby declare that I am the Karta of HUF is authorized to execute & operate the depository account opened with you on behalf of HUF and I state that all the members of HUF are jointly and severally responsible for dealing/transaction/ delivery slips that are executed by me on behalf of the HUF and shall abide by the respective Exchange, Bye Laws, and Regulations.

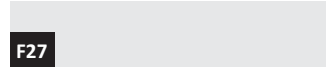
I further state that I am well aware of the CDSL procedures and shall comply with CDSL provisions under its Byelaws, Rule and Regulations and also provide with the necessary information/details from time to time to the above trading member.

Name of the family Members including Karta with names in full, relation and Date of Birth are as under:

Sr. No.	Name	Date of Birth	Relation with Karta

Thanking you,

Yours faithfully,



F27
Signature of Karta with HUF stamp

KUNVARJI FINSTOCK PVT. LTD.

To,
Kunvarji Finstock Pvt. Ltd.
Makarba, Ahmedabad - 380 051.

Dear Sir / Madam,

Sub: Acknowledgment and confirmation

I/We confirm that, I/we have received the following documents from you and that we have read and understood the contents of the same.

1. Index of documents explaining brief significance of the documents.
2. Rights and obligations of stock brokers, sub brokers and clients including the same related to internet and wireless technology based trading facility provided by the stock brokers to the clients
3. Risk Disclosure Document for capital market and derivatives segments
4. Guidance Note - Dos & don'ts
5. Policies & Procedures
6. Tariff sheet
7. Additional Clauses of Rights & Obligations
8. AML literature
9. Rights and Obligations of Beneficial Owner and Depository Participant, Investor Charter
10. Direct Debit authorisation form - (Mandate Form)

I/We have been explained the above documents as required by me/us. I/ We have been informed that these documents are also available on your website www.kunvarji.com

I/We have also been explained all the voluntary documents, their significance and that I/we have right to disagree with all or any of them. Having understood all these documents and after careful evaluation of each of them, I/we have agreed to abide by the said documents. I/We have also put my/our signature(s) wherever required.

I/ We have also been informed that you may avail of services of clearing member for clearing trades on the Exchange for any or all segments.

I/We confirm that I/we have been informed that Kunvarji Finstock Pvt. Ltd. is engaged in proprietary trading i.e. trading in securities market on its own account.

Yours faithfully,

F28

**First Holder /
Authorised Person's Signature**

S9

**Second Holder /
Authorised Person's Signature**

T9

**Third Holder /
Authorised Person's Signature**

Client Name : _____

Date:- ____/____/____

AUTHORITY LETTER TO ADJUST COLLATERALS AGAINST MTM LOSS – ALL EXCHANGES – VOLUNTARY

Dear Sir / Madam,

I/We have a trading account, bearing no. _____, with Kunvarji Finstock Pvt.Ltd. in the name of _____ since _____

I/We hereby authorize Kunvarji Finstock Pvt. Ltd. to adjust my/our MTM losses/ Settlement obligation on a daily basis, before trading commences on the next trading day, against my/our collaterals available with Kunvarji Finstock Pvt. Ltd., after having first adjusted the initial margin requirement in my/our account.

I/We hereby further authorize Kunvarji Finstock Pvt. Ltd. that the MTM Profit / Settlement Credit, if any, may be added to my/our collateral(s) maintained with Kunvarji Finstock Pvt. Ltd. and treated as additional collateral brought in by me/us.

I/We have right to revoke any of the authorisation granted to the Member – Broker through this document by sending a written communication duly signed at the registered office of the Member – Broker.


F29

Signature of Client/ Authorised Signatory (ies)

UNDERTAKING TO ABIDE BY RULES FOR POSITION LIMITS - VOLUNTARY

I/We am/are aware that SEBI and recognised commodity Exchanges prescribe open position limits at client level for near month as well as across all derivative contracts of a commodity. I/We am/are also aware that, SEBI and Exchanges prescribe manner of computation of open position limit in respect of each client by clubbing the position of other entities associated with the said client.

I/We hereby declare and undertake that I/we shall not exceed and abide by the position limits prescribed by SEBI or respective Exchange(s) as per the mode of computation prescribed.

I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trusty or any of the partnership firms/companies/HUFs/trusts in which I/any of such person is a partner/director/Karta/trusty, takes or holds any position in any commodity derivative contract on any commodity Exchange through you or through any other member(s) of any commodity Exchange, to enable you to restrict our position limit in accordance with directives.

I/We confirm that you have agreed to execute our orders in commodity derivatives as your client on commodity Exchange(s) only on the basis of our undertaking and assurance.

Yours faithfully,


F30

Signature of Client/ Authorised Signatory (ies)

LETTER FOR AUTHORIZATION OF SQUARING-OFF OF OPEN POSITIONS**Date:****Client Name:****Client Code:****Address:**

To,
Kunvarji Finstock Pvt. Ltd.
B - Wing, 1st Floor, Siddhivinayak Towers, Nr. D.A.V. School,
Next to Kataria House, Off. S.G. Road,
Makarba, Ahmedabad - 51.

Dear Sir,

Sub.: Authorization for squaring off of open position

I/We am/are your client registered under client code: _____. I/ We execute our trades in commodity futures on NCDEX and MCX through the above trading account with you. The commodity market has been experiencing very high volatility since quite sometime. This has resulted in increased risk of losses due to market moving against my/our open position in a very short span of time. In order to protect my/our capital and as a measure of managing risk emanating from high volatility and very long trading hours, I/we authorise you to kindly square off my/our outstanding position taken by me/us, without my/our order or consent, under any of the following situations, whichever occurs first;

- (a) Squaring off of total open positions: Upon my/our total position including positions taken with the intention of carrying it forward overnight resulting in marked to market (MTM) losses exceeding pre-specified percentage of my/our margin deposit/ledger balance.
- (b) Squaring off of Intra day positions: At any time in between or in the last 30 minutes prior to market closing time for the segment in which I/we have taken such position for intraday trading purposes as indicated by me/us at the time of placing orders and as recorded through specified order entry feature for intraday trading orders.
- (c) The above parameters viz. time limit for square off and pre-specified percentage of margin deposit/ ledger balance shall be subject to change depending on market conditions, volatility and other factors, your views for which shall be final and binding. You shall be under no obligation to explain or justify such modifications in parameters.

I/We understand that

- (i) The above instruction shall be executed by you on best effort basis and does not result in creating any legal obligation on your part. I/We understand that, volatility, depth of the market and availability of matching order on opposite side are factors beyond your control.
- (ii) The square off may not happen due to either limited ability on your part to track positions of several clients online and square off may not be executed or may be executed much later than specified time limit, due to dealer being preoccupied with other clients.
- (iii) The non squaring off of open positions due to any reason including reasons mentioned in (i) and (ii) above, shall not absolve me/us from my/our obligation to honour my/our settlement obligations as per provisions of Member-Client Agreement, Rules, Regulations, Bye-laws and Business Rules of the Exchanges. (iv) You may use functionalities, if any, available in your trading software application. However, I/ We understand that software and computers may not function, at times, due to technical problems, connectivity issue or bugs.
- (iv) Thus, while you may try your best to act in accordance with my/our instructions, you may not be able to do so due to any of the above stated reasons or for any other reasons. I/We shall not hold you responsible or accountable for failure to square off my/our position in accordance with the above instructions.

- (v) You may endeavor to communicate my/our transactions as expeditiously as possible, including through SMS confirmation on my/our registered mobile number, any change thereof shall be communicated to you in time. However, you shall not be under obligation to do so. I/We undertake to review my/our transactions and open positions, margin utilization and ledger balances and other reports either through the internet access to your back office or by making inquires.
- (vi) This letter and the above instructions does not amount to any alterations or amendments in your right to square off my/our position in accordance with the Member – Client Agreement executed by me/us with you and the rights available to you under the Rules, Regulations, Bye-laws and Business Rules of the Commodity Exchanges on which I/we have executed transactions.
- (vii) I have agreed to that, In case of squaring off of my position due to MTM Loss being in excess of specified percentage of my collateral deposited with you including the credit balance in my ledger account with the Company in any segment/Exchange, you may not be able to communicate to me the requirement of additional margin to allow me to keep my open positions due to various factors including the fact that such situation may arise much after normal office hours, and/or multiple clients position may have similar positions and you may not be able to communicate to each of them individually. I undertake not to raise a dispute about non-communication of additional margin requirement. I confirm that, I have agreed to the above norms with a view to minimise my losses and to limit my obligations.

Yours faithfully

F31

Signature of Client/ Authorised Signatory (ies)

To,
Kunvarji Finstock Pvt. Ltd.
Ahmedabad-380051.

Dear Sir / Madam,

Sub: Consent for trading in Commodity Options in the KYC Client Code:- _____
PAN No. _____

1. I/We _____ are registered with you as a client for trading in commodity derivatives.
2. I/We understand that SEBI has allowed trading in commodity options. Exchanges are soon likely to launch option contracts with commodity or commodity derivatives as underlying.
3. I/We have gone through the additional risk disclosure document sent by you and have appraised myself/ourselves with the risk of trading in commodity options.
4. I/We are interested in trading in commodity options and hereby accord my/our consent to trading in commodity options with confirmation of having received additional risk disclosure document disclosing risk of trading in commodity options.
5. This consent is valid till I/we revoke the same. I/We understand that I/we have right to withdraw the same at any point of time.

Yours Sincerely,

Signature of Client :-  _____

Name of Client:- _____

Place:-

Date:-

Note : In case of existing clients who are Corporate/ Trust/ Partnership, a resolution from Board of Directors/ Trustees/partners is required clearly stating that the Corporate/ Trust/ Partnership are authorized to trade in Commodity Options and they intend to trade in Commodity Options on recognized Exchanges

Annexure 1**Additional Risk Disclosure documents for Options Trading****Risk of Option holders:**

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

Risks of Option Writers:

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

Details of Ultimate Beneficial Owner Including Additional FATCA & CRS Information - Individual & Non Individual

Name of the entity

Type of address given at KRA Residential or Business Residential Business Registered Office

"Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes"

Customer ID / Folio Number

PAN Date of incorporation DD / MM / YYYY

City of incorporation

Country of incorporation

Entity Constitution Type
Please tick as appropriate
 a Partnership Firm b HUF c Private Limited Company d Public Limited Company e Society f AOP/BOI
 g Trust H Liquidator h Limited Liability Partnership i Artificial Juridical Person j FI k FI l FBI-I m FBI-II n FBI-III
 o Bank p Government Body q Non-Government Organization r Defence s Society t Others specify _____

Please tick the applicable tax resident declaration -
 1. Is "Entity" a tax resident of any country other than India Yes No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

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

*In case Tax Identification Number is not available, kindly provide its functional equivalent.
 In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

FATCA & CRS Declaration

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

1. We are a, Financial institution⁶ or Direct reporting NFE (please tick as appropriate)
 GIIN
Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below
 Name of sponsoring entity
 GIIN not available (please tick as applicable) **Applied for**
 If the entity is a financial institution, Not required to apply for - please specify 2 digits sub-category¹⁰
 Not obtained – Non-participating FI

PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1.	Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market)	Yes <input checked="" type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes <input checked="" type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation: <input checked="" type="checkbox"/> Subsidiary of the Listed Company or <input checked="" type="checkbox"/> Controlled by a Listed Company Name of stock exchange _____
3.	Is the Entity an active ³ NFE	Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section.) Nature of Business _____ Please specify the sub-category of Active NFE <input type="text"/> (Mention code – refer 2c of Part D)
4.	Is the Entity a passive ⁴ NFE	Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section.) Nature of Business _____

¹Refer 2a of Part D | ²Refer 2b of Part D | ³Refer 2c of Part D | ⁴Refer 3(ii) of Part D | ⁵Refer 1 of Part D | ⁷Refer 3(vii) of Part D | ¹⁰Refer 1A of Part D

UBO Declaration

Category (Please tick applicable category): Unlisted Company Partnership Firm Limited Liability Partnership Company
 Unincorporated association / body of individuals Public Charitable Trust Religious Trust Private Trust
 Others (please specify _____)

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s).
 5 Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name - Beneficial owner / Controlling person Country - Tax Residency* Tax ID No. - Or functional equivalent for each country*	Tax ID Type - TIN or Other, please specify Beneficial Interest - in percentage Type Code ¹¹ of Controlling person	Address - Include State, Country, PIN / ZIP Code & Contact Details Address Type -
1. Name _____ Country _____ Tax ID No. [§] _____	Tax ID Type _____ Type Code _____ Address Type _____ <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	Address _____ Zip [][][][][][][][][] State: _____ Country: _____
2. Name _____ Country _____ Tax ID No. [§] _____	Tax ID Type _____ Type Code _____ Address Type _____ <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	Address _____ Zip [][][][][][][][][] State: _____ Country: _____
3. Name _____ Country _____ Tax ID No. [§] _____	Tax ID Type _____ Type Code _____ Address Type _____ <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	Address _____ Zip [][][][][][][][][] State: _____ Country: _____

If passive NFE, please provide below additional details. (Please attach additional sheets if necessary)

PAN / Any other Identification Number (PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Licence NREGA Job Card, Others) City of Birth - Country of Birth	Occupation Type - Service, Business, Others Nationality Father's Name - Mandatory if PAN is not available	DOB - Date of Birth Gender - Male, Female, Other
1. PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB DD/MM/YYYY Gender Male <input checked="" type="checkbox"/> Female <input checked="" type="checkbox"/> Others <input checked="" type="checkbox"/>
2. PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB DD/MM/YYYY Gender Male <input checked="" type="checkbox"/> Female <input checked="" type="checkbox"/> Others <input checked="" type="checkbox"/>
3. PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB DD/MM/YYYY Gender Male <input checked="" type="checkbox"/> Female <input checked="" type="checkbox"/> Others <input checked="" type="checkbox"/>

Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India:
 * To include US, where controlling person is a US citizen or green card holder
 §In case Tax Identification Number is not available, kindly provide functional equivalent

⁴Refer 3(iii) of Part D | ⁵Refer 3(vi) of Part D | ¹¹Refer 3(iv) (A) of Part D

FATCA - CRS Terms and Conditions

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.
 Please note that you may receive more than one request for information if you have multiple relationships with (insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.
 If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number.
 §It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

Certification

I/ We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/ us on this Form is true, correct, and complete. I/ We also confirm that I/ We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

Name																									
Designation																									
F33 Signature with Stamp	S10 Signature with Stamp	T10 Signature with Stamp	Place _____																						
			Date ____/____/____																						

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF M/S. _____ HELD ON _____ AT THE REGISTERED OFFICE OF THE COMPANY AT _____.

“RESOLVED THAT

- (1) The Company be and is hereby authorised to make investments and trade in securities as defined as per provisions of Securities Contracts (Regulation) Act, 1956 in accordance with enabling provisions contained in its Memorandum and Articles of Association and to do all such deeds and acts, as may be required, pursuant thereto.
- (2) The Company be and is hereby authorised to open and operate a Trading Account and Demat account in the name of the Company with M/s KUNVARJI FINSTOCK PVT. LTD. AHMEDABAD a Stock Broker and Member of National Stock Exchange of India Limited (NSE), Bombay Stock Exchange Ltd. (BSE), Multi Commodity Exchange (MCX), National Commodity and Derivatives Exchange (NCDEX) and a Depository Participant (DP) of Central Depository Services (India) Ltd.(CDSL).
- (3) The Company be and is hereby authorizes M/s Kunvarji Finstock Pvt. Ltd , the said Stock Broker and Depository Participant to honour all instructions issued including but not limited to for purchase, sale or dealing in securities, transfer of securities, settlement of obligations arising out of such trades of the Company, dematerialization of physical securities held by the Company, creating and accepting pledge of securities and all matters connected to or incidental to, by any one of the following authorized signatories of the company and to act upon any such instruction so given relating to the said account.

Sr. No	Name & Designation of the Authorised Signatory	Signature with stamp
1.		
2.		
3.		
4.		

- (4) The Company be and is hereby authorize any one of the aforesaid directors/authorised signatories of the Company, jointly or severally to make an application for opening the said account and to do all other formalities that are necessary for opening the said Demat and Trading account including certifying Memorandum and Article of Association of the Company etc.
- (5) Mr. _____ (name of Managing director/chairman), Director of the company, be and is hereby authorized to send the copy this resolution as a Certified True Copy to the aforesaid Broker for their information, records and necessary actions,”

CERTIFIED TRUE COPY

For _____ Pvt. Ltd. / Ltd.

(Name and Signature with Company’s stamp)

Date ://

Place: _____

TO BE GIVEN BY PARTNERSHIP FIRM ON ITS LETTER HEAD

To,
M/s Kunvarji Finstock Pvt. Ltd.
“B” Wing, Siddhi Vinayak Tower,
NR D.A.V School, Next to Kataria House,
Off S.G Road, Makraba, Ahmedabad-51

Date:

Dear Sir / Madam:

Sub: Operations of our client / trading account with you as our Stock Broker

We the partners of M/s _____, a partnership firm incorporated under the provisions of Indian Partnership Act, do hereby agree, undertake and authorize as under:

1. We are carrying on our business at _____.
2. We desire to open a trading account with you for dealing in securities and accordingly are ready to fill-up and submit your Client Registration Form in the name of our Firm for the purpose of buying and/or selling and otherwise dealing or investing in securities through you.
3. We the undersigned partners, hereby authorize Mr. _____, one of the partner / managing partners of our firm to sign, execute and submit all applications, forms, documents, agreements etc. as also to issue all the instructions for all our transactions with you as our broker and to do all deeds and acts necessary to operate our trading account with you.
4. We hereby agree and undertake that all the transactions carried out by you as per the instructions whether oral (telephonic or personal) and/or written, given by our aforesaid authorized partner, shall be binding upon our firm as well we all the partners individually and severally including their estate, heirs, executors and permitted assigns.
5. We also hereby undertake to inform you in writing in case of any change in constitution or authority, duly signed by all the partners for the time being.

Name of the partner

Signature with stamp

Name of the partner

Signature with stamp

Name of the partner

Signature with stamp

(ON PARTNERSHIP FIRM LETTERHEAD)

Date :

To,
Kunvarji Finstock Pvt. Ltd.
Ahmedabad – 380 051

Sub: Opening a Demat A/c

Dear Sirs,

1. I/We do recognize that Demat Account with any Depository Participant cannot be opened in the name of Partnership Firm as per Regulation.
2. Therefore, I/We have decided that a demat account of the Partnership firm, M/s _____ (Name of partnership firm) be opened as a joint account in the name and style of _____ (First Partner name), _____ (Second Partner Name) and _____ (Third Partner Name), having its office at _____ with KUNVARJI FINSTOCK PVT. LTD., AHMEDABAD a Depository Participant (DP) of Central Depository Services (I) Ltd. (CDSL).

Thanking you.

Yours faithfully,

(Sign by all Partners with seal)

Date: / /

To,
M/s Kunvarji Finstock Pvt. Ltd.
"B" Wing, Siddhi Vinayak Tower,
NR D.A.V School, Next to Kataria House,
Off S.G Road, Makraba,
Ahmedabad-51

Dear Sir or Madam:

I/We refer to the trading account / Client Registration Form, filled-up and submitted with you in the name of M/S _____, a sole proprietary firm / partnership firm as my/our share broker.

Accordingly, I/We do hereby declare and undertake as under:

1. I/we do recognize that Demat Beneficiary Account with any Depository Participant could not be opened in the name of Proprietary Firm / Partnership Firm as per regulations. However, I/We hereby authorize you to recognize my/our Demat Beneficiary Account No. _____ maintained with _____, having DP ID _____ in my/our Proprietary ship firm/ Partnership Firm and as mentioned in my/our Client Regn. Form with you. This is purely meant for facilitating operations of my/our trading account with you and for completing share transfer transactions vide aforesaid my/our Client Code as per the trading regulations applicable from time to time.
2. I/We hereby agree and confirm that all the obligations for shares purchased/sold by my/our aforesaid firm, will be handled, operated and completed through transfers from and/or to the aforesaid Demat Account only and all the transfers (i.e. credit transfers) made by you to the said Demat Account would be regarded as completion of your obligation regarding trades executed by me/us with you through aforesaid Client Account.
3. I/we agree that I am the sole proprietor or we are the partners of the aforesaid firm and I/We are solely responsible for all the transactions carried out by me/us through aforesaid Client Code and in case of any change in constitution of aforesaid firm, I/we shall immediately, in writing, inform to you and any/all the transactions that may be carried out before/during/after such changes, shall be effective to our aforesaid Client Account, as they normally be effective to our said Client Code as may be applicable before such change and I/We shall be liable for any/all the compliances to be made in this regard as also I/We shall be personally responsible for and shall personally discharge, all the obligations that the firm may incur / occur in the course of its dealings with you.
4. I/we further agree and undertake that all the payments made, whether by cheques/Demand Drafts, whether electronically or physically, by me /us shall normally be made to you from the firm's banking account only. However, in the event of any unforeseen circumstances, if any payment is made from my/our individual account(s), my/our joint account(s), the said payment shall always be regarded as payment by the firm exclusively and shall be solely and exclusively credited to/into my/our Firm's name only as per your books of accounts. I / We under no circumstances, shall claim or make responsible your firm nor shall be lay any claim, whether present or future, of what so ever nature, upon your firm for crediting such payment from any separate individual / joint accounts.

Thanking you,

Name of the partner

Signature with stamp

Name of the Partner

Signature with stamp

Format for providing list of directors (on company letter head)

LIST OF _____ (COMPANY NAME) as on date _____

SR. NO.	DIRECTORS NAME AND ADDRESS	DESIGNATION	DIN NUMBERS	PHOTOGRAPH WITH ACROSS SIGN AND STAMP

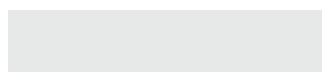
FOR _____

Director/ Authorised Signatory

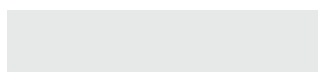
MOST IMPORTANT TERMS AND CONDITIONS (MITC)

(For non-custodial settled trading accounts)

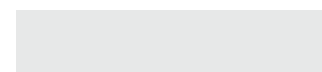
1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not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



**First Holder /
Authorised Person’s Signature**



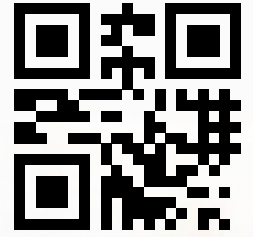
**Second Holder /
Authorised Person’s Signature**



**Third Holder /
Authorised Person’s Signature**

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FOR TRADING



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SCREENING

An expert examination of your portfolio



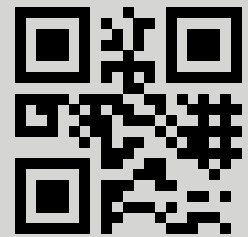
DIAGNOSIS

Knowledge, Research & Experience at work



RECOMMENDATIONS

Better Ideas for your Wealth Creation



Wealth Wallet

SEBI Regn. No.: INZ000180436

B - Siddhivinayak Towers, Next To Kataria House, Off. S.G.Road, Makarba, Ahmedabad-380051

+91 79 6666 9000 +91 79 2970 2196 demat@kunvarji.com, info@kunvarji.com

WEALTH SOLUTIONS

AGRO COMMODITIES

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TECH SOLUTIONS

INSURANCE ADVISORY

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