



No. : _____

A C Choksi Share Brokers Private Limited

ITTS House, 2nd Floor, 33 Shree Saibaba Marg, Kala Ghoda, Mumbai - 400 001.

Telephone : +91-22-6159 5100 Fax : +91-22-6159 5199

E-mail : help@acchoksi.com Website : www.acchoksi.com

A member of BSE Ltd.

A member of National Stock Exchange of India Ltd.

A member of Central Depository Services (India) Limited

Dear Customers,

Welcome to A C Choksi Share Brokers Private Limited

We look forward to your becoming our client and to the pleasure of serving you. To start with, we request you to complete the relevant forms, the mandatory & voluntary client registration document and submit the required documents.

We have designed the form for ease of completion with simple instructions at relevant place to guide you along.

In case you face any difficulty in understanding the requirements. please do contact our staff who will be willing to assist / guide you.

It shall be our endeavour as always, to provide you truly satisfying service.

INDIVIDUAL / NON-INDIVIDUAL

CLIENT REGISTRATION APPLICATION FORM

DP ID :

1	2	0	2	8	4	0	0
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Client ID :

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Trading Client Code : _____ Branch Code : _____

Dealing Office : _____

Client Name : _____

Address : _____

Tel. No. (STD) : _____

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FOR PMLA & OTHER POLICIES AS WELL AS FOR SOFT COPY OF KYC,
PLEASE VISIT OUR WEBSITE : www.acchoksi.com

Name of stock broker/trading member/clearing member :- A C CHOKSI SHARE BROKERS PRIVATE LIMITED
SEBI Registration No. and date:

Exchange & Segment	SEBI Registration No.	Date of Registration
BSE CASH / BSE FNO/ NSE CASH/ NSE FNO	INZ00019836	SEPTEMBER 06, 2018
PMS	INP000004730	JULY 07, 2015
AMFI	ARN-1913	MARCH 03, 2003

Depository Details:

Depository Participant : **CDSL • SEBI Reg. No. : IN-DP-104-2015**

Date of Registration : September 29, 2015.

E-mail : depository@acchoksi.com

Registered Office Address :

ITTS House, Second Floor, 33 Shree Saibaba Marg, Kala Ghoda, Mumbai - 400 001.

Tel.: +91-22-6159 5100 • Fax : +91-22-6159 5199 • Website : www.acchoksi.com

Correspondence Office Address :

ITTS House, Second Floor, 33 Shree Saibaba Marg, Kala Ghoda, Mumbai - 400 001.

Tel.: +91-22-6159 5100 • Fax: +91-22-615905199 • Website : www.acchoksi.com

Compliance Officer Name : Mr. Ashvin C. Choksi.

Tel.: +91-22-6159 5101 • E-mail : compliance@acchoksi.com

CEO Details

: Mr. Bimal A. Choksi

Tel: +91-22-6159 5104 • E-mail : bimal@acchoksi.com

Clearing Member Details:

Axis Bank Ltd.

Capital Market Division,

Sir P. M. Road, Fort, Mumbai - 400 001.

Tel.: +91-22-66107260 New No. : +91-22-40867515/19/20/21/22/23/24/26

SEBI Regn. No. : INZ000257435

For any grievance/dispute please contact stock broker AC Choksi Share Brokers Private Limited at the above address or email: grievances@acchoksi.com or tel: +91-22-61595100. In case not satisfied with the response, you may please contact the concerned exchange (s) at.....

Exchange	E-mail	Phone
BSE	is@bseindia.com	022 - 22728097
NSE	ignse@nse.co.in	022 - 26598190
CDSL	complaints@cdslindia.com	022 - 23058658
AMFI	contact@amfiindia.com	022 - 43346700

SCORE - Filing of Complaints on SCORES – Easy & Quick

- Register on SCORES portal
- Mandatory details for filing complaints on SCORES :
 - Name , PAN , Address , Mobile Number , Email id
- Benefits
 - Effective Communication
 - Speedy redressal of the grievances

To lodge the complaint follow the link <https://scores.gov.in/scores/Welcome.html>

GENERAL INSTRUCTIONS

- Each client should use a separate registration form in case of joint holding
- Modifications / Cancellations should be countersigned.
- Originals must be produced for verification at the time of submission of Application.
- In case of HUF / Proprietorship firm / Partnership firm / Company account, rubber stamp must be affixed along with signatures.

CKYC & KRA Form



Know Your Client

Application Form (For Individuals only)

(Please fill the form in English and in BLOCK Letters)
Fields marked with "*" are mandatory fields

Application ☐ NewType* ☐ Update KYC Number* KYC Type* ☐ Normal (PAN is mandatory) ☐ PAN Exempt Investors (Refer instruction K)

1. Identity Details (Please refer instruction A at the end)

PAN

Please enclose a duly attested copy of your PAN Card

	Prefix	First Name	Middle Name	Last Name
Name* (same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				
Date of Birth*				
Gender*	☐ M- Male	☐ F- Female	☐ T-Transgender	
Marital Status*	☐ Married	☐ Unmarried	☐ Others	
Citizenship*	☐ IN- Indian	☐ Others - Country	Country Code	
Residential Status*	☐ Resident Individual	☐ Non Resident Indian		
	☐ Foreign National	☐ Person of Indian Origin		
Occupation Type*	☐ S-Service ☐ Private Sector	☐ Public Sector ☐ Government Sector		
	☐ O-Others ☐ Professional	☐ Self Employed ☐ Retired ☐ Housewife ☐ Student		
	☐ B-Business	☐ X-Not Categorised		

Photo

Signature/
Thumb Impression

2. Proof of Identity (Pol)* (for PAN exempt Investor or if PAN card copy not provided) (Please refer instruction C & K at the end)

(Certified copy of any one of the following Proof of Identity [Pol] needs to be submitted)

☐ A- Passport Number		Passport Expiry Date	
☐ B- Voter ID Card		Driving Licence Expiry Date	
☐ D- Driving Licence			
☐ E- Aadhaar Card			
☐ F- NREGA Job Card			
☐ Z- Others (any document notified by the central government)		Identification Number	

3. Proof of Address (PoA)*

☐ 3.1 Current / Permanent / Overseas Address Details (Please see instruction D at the end)

Address

Line 1*		City / Town / Village*	
Line 2			
Line 3			
District*		Zip / Post Code*	
State/UT*		State/UT Code	
		as per Indian Motor Vehicle Act, 1988	
	Country*	Country Code	
		as per ISO 3166	
Address Type*	☐ Residential / Business	☐ Residential	☐ Business
	☐ Registered Office	☐ Unspecified	

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Proof of Address*		Passport Expiry Date	
☐ Passport Number		Driving Licence Expiry Date	
☐ Voter ID Card			
☐ Driving Licence			
☐ Aadhaar Card			
☐ NREGA Job Card			
☐ Others (any document notified by the central government)		Identification Number	

☐ 3.2 Correspondence / Local Address Details* (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1', Submit relevant documentary proof)

Line 1*		City / Town / Village*	
Line 2			
Line 3			
District*		Zip / Post Code*	
State/UT*		State/UT Code	
		as per Indian Motor Vehicle Act, 1988	
	Country*	Country Code	
		as per ISO 3166	

4. Contact Details (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction **F** at the end)

Email ID

Mobile - Tel. (Off) - Tel. (Res) -

5. FATCA/CRS Information (Tick if Applicable)☐ Residence for Tax Purposes in Jurisdiction(s) Outside India (Please refer instruction **B** at the end)

Additional Details Required* (Mandatory only if above option (5) is ticked)

Country of Jurisdiction of Residence* Country Code of Jurisdiction of Residence as per ISO 3166Tax Identification Number or equivalent (If issued by jurisdiction)* Place / City of Birth* Country of Birth* Country Code as per ISO 3166

Address
Line 1*
Line 2
Line 3 City / Town / Village*
District* Zip / Post Code* State/UT Code as per Indian Motor Vehicle Act, 1988
State/UT* Country* Country Code as per ISO 3166

6. Details of Related Person (Optional) (please refer instruction **G** at the end) (in case of additional related persons, please fill 'Annexure B1')☐ Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*) Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details of section 6 are optional)

☐ Proof of Identity [Pol] of Related Person* (Please see instruction (**H**) at the end)(Certified copy of any one of the following Proof of Identity[Pol] needs to be submitted)

☐ A- Passport Number Passport Expiry Date - -
☐ B- Voter ID Card
☐ C- PAN Card
☐ D- Driving Licence Driving Licence Expiry Date - -
☐ E- Aadhaar Card
☐ F- NREGA Job Card
☐ Z- Others (any document notified by the central government) Identification Number

7. Remarks (If any)**8. Applicant Declaration**

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

[Signature / Thumb Impression]

Date: - - Place:

Signature / Thumb Impression of Applicant

9. Attestation / For Office Use Only**Documents Received** ☐ Certified Copies

KYC Verification Carried Out by (Refer Instruction I)

Date - -
Emp. Name
Emp. Code
Emp. Designation

[Employee Signature]

In-Person Verification (IPV) Carried Out by (Refer Instruction J)

Date - -
Emp. Name
Emp. Code
Emp. Designation

[Employee Signature]

Institution Details

Name
Code
Emp. Branch

[Institution Stamp]

Institution Details

Name
Code
Emp. Branch

[Institution Stamp]

Instructions/Guidelines for filling Individual KYC Application Form

General Instructions:

1. Self-Certification of documents is mandatory.
2. KYC number of applicant is mandatory for update/change of KYC details.
3. For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
4. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 list mentioned under [I].
5. If any proof of identity or address is in a foreign language, then translation into English is required.
6. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
7. If correspondence & permanent addresses are different, then proofs for both have to be submitted.
8. Sole proprietor must make the application in his individual name & capacity.
9. 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.
10. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
11. 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.

A. Clarification / Guidelines on filling 'Identity Details' section

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

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

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

C. Clarification / Guidelines on filling 'Proof of Identity [PoI]' section, if PAN Card copy is not enclosed/For PAN exempt Investors

1. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
3. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government 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.
4. Letter issued by a gazetted officer, with a duly attested photograph of the person.

D. Clarification / Guidelines on filling 'Proof of Address [PoA] section

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
3. Others includes – Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Central/ State Government 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.

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

1. To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
2. In case of multiple correspondence / local addresses, Please fill 'Annexure A1'
3. Others includes – Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Central/ State Government 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.

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

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

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

1. Provide KYC number of related person if available.

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

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

I. List of people authorized to attest the documents after verification with the originals:

1. Authorised officials of Asset Management Companies (AMC).
2. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.
3. KYD compliant mutual fund distributors.
4. 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).
5. 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.
6. Government authorised officials who are empowered to issue Apostille Certificates.

J. List of people authorized to perform In Person Verification (IPV):

1. Authorised officials of Asset Management Companies (AMC).
2. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.
3. KYD compliant mutual fund distributors.
4. Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (for investors investing directly).
5. In case of NRI applicants, a person permitted to attest documents, may also conduct the In Person Verification and confirm this in the KYC Form.

K. PAN Exempt Investor Category

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.

List of Two-Digit state / U.T Codes as per Indian Motor Vehicle Act, 1988

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

List of ISO 3166 Two-Digit Country Code

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

CKYC & KRA Form



Know Your Client

Application Form (For Individuals only)

(Please fill the form in English and in BLOCK Letters)
Fields marked with "*" are mandatory fields

Application ☐ NewType* ☐ Update KYC Number* KYC Type* ☐ Normal (PAN is mandatory) ☐ PAN Exempt Investors (Refer instruction K)

1. Identity Details (Please refer instruction A at the end)

PAN

Please enclose a duly attested copy of your PAN Card

	Prefix	First Name	Middle Name	Last Name
Name* (same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				
Date of Birth*				
Gender*	☐ M- Male	☐ F- Female	☐ T-Transgender	
Marital Status*	☐ Married	☐ Unmarried	☐ Others	
Citizenship*	☐ IN- Indian	☐ Others - Country	Country Code	
Residential Status*	☐ Resident Individual	☐ Non Resident Indian		
	☐ Foreign National	☐ Person of Indian Origin		
Occupation Type*	☐ S-Service ☐ Private Sector	☐ Public Sector ☐ Government Sector		
	☐ O-Others ☐ Professional	☐ Self Employed ☐ Retired ☐ Housewife ☐ Student		
	☐ B-Business	☐ X-Not Categorised		

Photo

Signature/
Thumb Impression

2. Proof of Identity (Pol)* (for PAN exempt Investor or if PAN card copy not provided) (Please refer instruction C & K at the end)

(Certified copy of any one of the following Proof of Identity [Pol] needs to be submitted)

☐ A- Passport Number		Passport Expiry Date	
☐ B- Voter ID Card		Driving Licence Expiry Date	
☐ D- Driving Licence			
☐ E- Aadhaar Card			
☐ F- NREGA Job Card			
☐ Z- Others (any document notified by the central government)		Identification Number	

3. Proof of Address (PoA)*

☐ 3.1 Current / Permanent / Overseas Address Details (Please see instruction D at the end)

Address

Line 1*		City / Town / Village*	
Line 2			
Line 3			
District*		Zip / Post Code*	
State/UT*		State/UT Code	
		as per Indian Motor Vehicle Act, 1988	
	Country*	Country Code	
		as per ISO 3166	
Address Type*	☐ Residential / Business	☐ Residential	☐ Business
	☐ Registered Office	☐ Unspecified	

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Proof of Address*		Passport Expiry Date	
☐ Passport Number		Driving Licence Expiry Date	
☐ Voter ID Card			
☐ Driving Licence			
☐ Aadhaar Card			
☐ NREGA Job Card			
☐ Others (any document notified by the central government)		Identification Number	

☐ 3.2 Correspondence / Local Address Details* (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1', Submit relevant documentary proof)

Line 1*		City / Town / Village*	
Line 2			
Line 3			
District*		Zip / Post Code*	
State/UT*		State/UT Code	
		as per Indian Motor Vehicle Act, 1988	
	Country*	Country Code	
		as per ISO 3166	

4. Contact Details (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction **F** at the end)

Email ID

Mobile - Tel. (Off) - Tel. (Res) -

5. FATCA/CRS Information (Tick if Applicable)☐ Residence for Tax Purposes in Jurisdiction(s) Outside India (Please refer instruction **B** at the end)

Additional Details Required* (Mandatory only if above option (5) is ticked)

Country of Jurisdiction of Residence* Country Code of Jurisdiction of Residence as per ISO 3166Tax Identification Number or equivalent (If issued by jurisdiction)* Place / City of Birth* Country of Birth* Country Code as per ISO 3166

Address
Line 1*
Line 2
Line 3 City / Town / Village*
District* Zip / Post Code* State/UT Code as per Indian Motor Vehicle Act, 1988
State/UT* Country* Country Code as per ISO 3166

6. Details of Related Person (Optional) (please refer instruction **G** at the end) (in case of additional related persons, please fill 'Annexure B1')☐ Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*) Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details of section 6 are optional)

☐ Proof of Identity [Pol] of Related Person* (Please see instruction (**H**) at the end)(Certified copy of any one of the following Proof of Identity[Pol] needs to be submitted)

☐ A- Passport Number Passport Expiry Date - -

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date - -

☐ E- Aadhaar Card

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government) Identification Number

7. Remarks (If any)**8. Applicant Declaration**

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

[Signature / Thumb Impression]

Date: - - Place:

Signature / Thumb Impression of Applicant

9. Attestation / For Office Use Only**Documents Received** ☐ Certified Copies

KYC Verification Carried Out by (Refer Instruction I)

Date - -

Emp. Name

Emp. Code

Emp. Designation

[Employee Signature]

Institution Details

Name

Code

Emp. Branch

[Institution Stamp]

In-Person Verification (IPV) Carried Out by (Refer Instruction J)

Date - -

Emp. Name

Emp. Code

Emp. Designation

[Employee Signature]

Institution Details

Name

Code

Emp. Branch

[Institution Stamp]

[illegible]

Signature / Thumb Impression of Authorised Person(s)

KYC VERIFICATION CARRIED OUT BY

[illegible][illegible]

A Clarification / Guidelines for filling Entity Details section

1 Entity Constitution Type

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

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

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

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

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

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

D Clarification / Guidelines for filling 'Contact Details' section

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

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

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

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

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

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



For office use only Application Type* ☐ New ☐ Update ☐ Delete
 (To be filled by financial institution) KYC Number (Mandatory for KYC update and delete request)

1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*) If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

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

DIN (Director Identification Number) (Mandatory if Related Person Type is Director)

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

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				
Date of Birth*				
Gender*	☐ M- Male	☐ F- Female	☐ T-Transgender	
Nationality*	☐ IN- Indian	☐ Others (ISO 3166 Country Code)		
PAN*		☐ Form 60 furnished		

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

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

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

☐ PHOTO***Address**

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

☐ **1.3. CURRENT ADDRESS DETAILS** (Please refer instruction E and the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

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

- ☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D-NREGA Job Card
☐ E- National Population Register Letter
☐ F - Proof of Possession of Aadhaar
- II ☐ E-KYC Authentication
- II ☐ Offline verification of Aadhaar
- IV ☐ Deemed PoA
- V ☐ Self Declaration

Address

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

1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction D at the end)

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

2. APPLICANT DECLARATION

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

Date : DD - MM - YYYY

Place:

Signature /Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

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

KYC VERIFICATION CARRIED OUT BY

Date	DD - MM - YYYY
Emp. Name	
Emp. Code	
Emp. Designation	
Emp. Branch	

INSTITUTION DETAILS

Name	
Code	

[	Employee Signature]
---	---------------------

[Institution 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 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.

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	• Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year) • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations • Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly • Copies of the Memorandum and Articles of Association and certificate of incorporation • Copy of the Board Resolution for investment in securities market • Authorised signatories list with specimen signatures
Partnership firm	• Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Certificate of registration (for registered partnership firms only) • Copy of partnership deed • Authorised signatories list with specimen signatures • Photograph, POI, POA, PAN of Partners
Trust	• Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Certificate of registration (for registered trust only). Copy of Trust deed • List of trustees certified by managing trustees/CA • Photograph, POI, POA, PAN of Trustees
HUF	• PAN of HUF • Deed of declaration of HUF/List of coparceners • Bank pass-book/bank statement in the name of HUF • Photograph, POI, POA, PAN of Karta
Unincorporated Association or a body of individuals	• 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	• 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)	• Copy of SEBI registration certificate • Authorized signatories list with specimen signatures
Army/Government Bodies	• Self-certification on letterhead • Authorized signatories list with specimen signatures
Registered Society	• Copy of Registration Certificate under Societies Registration Act • List of Managing Committee members • Committee resolution for persons authorised to act as authorised signatories with specimen signatures • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

Please Submit the KYC Documents on A4 Size Paper Only.

KNOW YOUR CLIENT (KYC) APPLICATION FORM

For Individuals

Photograph

Please affix your recent passport size photograph and sign across it

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

- Name of the Applicant : _____
(Surname) (First Name) (Middle Name)
- Father's/ Spouse Name: _____ Pls. Sign.
- a. Gender: Male ☐ b. Marital status: Single ☐ c. Date of birth: _____ (dd/mm/yyyy)
Female ☐ Married ☐
- a. Nationality: _____ b. Status: Resident Individual ☐ Non Resident ☐ Foreign National ☐
- a. PAN: _____ b. Unique Identification Number (UID)/ Aadhaar, if any: _____
- Specify the proof of Identity submitted: _____

B. ADDRESS DETAILS

- Address for Correspondence : _____
City/town/village: _____ Pin Code: _____ State: _____ Country: _____
- Contact Details: Tel. (Off.) _____ Tel. (Res.) _____ Mobile No.: _____
Fax: _____ Email id: _____
- Specify the proof of address submitted for residence address: _____
- Permanent Address** (if different from above or overseas address, mandatory for Non-Resident Applicant): _____
City/town/village: _____ Pin Code: _____ State: _____ Country: _____
- Specify the proof of address submitted for permanent address: _____

DECLARATION

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



Signature of the Applicant

Date : _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

☐ Originals verified and self attested Document copies received

(_____)

Name & Signature of the Authorised Signatory

Date: _____ (dd/mm/yyyy)

Seal/Stamp A C Choksi Share Brokers Private Limited

KNOW YOUR CLIENT (KYC) APPLICATION FORM For Non-Individuals

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

1. Name of the Applicant: _____
2. Date of incorporation: _____ (dd/mm/yyyy) & Place of incorporation: _____
3. Date of commencement of business: _____ (dd/mm/yyyy) Pls. Sign. 
4. a. PAN: _____ b. Registration No. (e.g. CIN): _____
5. **Status (please tick any one):**
Private Limited Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust ☐
Charities ☐ NGO's ☐ FI ☐ FII ☐ HUF ☐ AOP ☐ Bank ☐ Government Body ☐
Non-Government Organization ☐ Defense Establishment ☐ BOI ☐ Society ☐ LLP ☐
Others (Please Specify) _____

Please affix your recent passport size photograph and sign across it

B. ADDRESS DETAILS

1. Address for correspondence: _____

City/town/village: _____ Pin Code: _____ State: _____ Country: _____
2. Contact Details: Tel. (Off.) _____ Tel. (Res.) _____ Mobile No.: _____
Fax: _____ Email id: _____
3. Specify the proof of address submitted for correspondence address: _____
4. Registered Address (if different from above): _____

City/town/village: _____ Pin Code: _____ State: _____ Country: _____

C. OTHER DETAILS

1. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors: (please attach separate sheet)
2. a) DIN of whole time directors: _____
b) Aadhaar number of Promoter /Partner/Karta: _____

DECLARATION

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



Name: _____

Signature of the Authorised Signatory

Date: _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

☐ Originals verified and self attested Document copies received

(_____)

Name & Signature of the Authorised Signatory

Seal/stamp A C Choksi Share Brokers Private Limited

Date: _____

Additional KYC Form for Opening Trading and Demat Account

(To be filled by the Depository Participant)

Application No.		Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.										
DP ID										
Client ID										

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open d demat account in my / our name as per following details:-

Holders Details

Sole / First Holder's Name		PAN															
		UID															
Second Holder's Name		PAN															
		UID															
Third Holder's Name		PAN															
		UID															

Name *	
*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.	

Type of Account (Please tick whichever is applicable)

Status	Sub – Status
☐ Individual	☐ Individual Resident ☐ Individual-Director ☐ Individual Director's Relative ☐ Individual HUF / AOP ☐ Individual Promoter ☐ Minor ☐ Individual Margin Trading A/C (MANTRA) ☐ Others(specify) _____
☐ NRI	☐ NRI Repatriable ☐ NRI Non-Repatriable ☐ NRI Repatriable Promoter ☐ NRI Non-Repatriable Promoter ☐ NRI – Depository Receipts ☐ Others (specify) _____
☐ Foreign National	☐ Foreign National ☐ Foreign National - Depository Receipts ☐ Others (specify)_____

Other Details

Gross Annual Income Details	Income Range per annum: ☐ Up to Rs 1,00,000 ☐ Rs 1,00,000 to Rs.5,00,000 ☐ Rs.5,00,000 to Rs. 10,00,000 ☐ Rs. 10,00,000 to Rs. 25,00,000 ☐ Rs.25,00,000 to Rs. 1,00,00,000 ☐ More than Rs.1,00,00,000
	Net worth as on (Date) D D M M Y Y Y Y Rs [Net worth should not be older than 1 year]

Occupation Details (please tick any one and give brief details):

☐ Private Sector	☐ Public Sector	☐ Government Service	☐ Business _____
☐ Professional	☐ Agriculturist	☐ Retired	☐ Housewife ☐ Student
☐ NGO	☐ Statutory Body	☐ Others (Please Specify)_____	
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) ☐ . Please provide details as per Annexure 2.2 A.			
Any other information:			

Name *	
*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.	

Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange			
Name of CC / CH			
Clearing Member Id		Trading member ID	

Type of Account (Please tick whichever is applicable)													
Status										Sub – Status			
☐ Body Corporate ☐ Banks ☐ Trust ☐ Mutual Fund ☐ OCB ☐ FII ☐ CM ☐ FI ☐ Clearing House ☐ Other (Specify) _____										To be filled by the DP			
SEBI Registration No. (If Applicable)					SEBI Registration date	D	D	M	M	Y	Y	Y	Y
RBI Registration No. (If Applicable)					RBI Approval date	D	D	M	M	Y	Y	Y	Y
Nationality	☐ Indian ☐ Others (specify) _____												

Joint Holders - Second Holder's Details

First Name												
Middle Name												
Last Name												
Father / Husband Name												
Title	☐ Mr. ☐ Mrs. ☐ Miss ☐ Other										Suffix	
Permanent Address												
City					State							
Country					PIN							
Tel. No. with STD Code					Mobile No.							
PAN												
UID / Aadhar No. (if any)												
E-mail ID							Fax No.					

Joint Holders - Third Holder's Details

First Name												
Middle Name												
Last Name												
Father / Husband Name												
Title	☐ Mr. ☐ Mrs. ☐ Miss ☐ Other										Suffix	
Permanent Address												
City					State							
Country					PIN							
Tel. No. with STD Code					Mobile No.							
PAN												
UID / Aadhar No. (if any)												
E-mail ID							Fax No.					

NRI's

Foreign Address												
City					PIN							

Annexure 2

Details of Guardian (in case the account holder is minor)

Guardian's Name		PAN	
Relationship with the applicant			

Correspondence Address:			
City		State	
E-mail ID:		Mobile No:	

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] ☐ Yes ☐ 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')	☐ Yes ☐ No
Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	☐ Yes ☐ No
I / We would like to share the email ID with the RTA	☐ Yes ☐ No
I / We would like to receive the Annual Report ☐ Physical / ☐ Electronic / ☐ 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 as 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]	☐ Yes ☐ No
--	--

Whether you wish to opt for Basic Services Demat Account (BSDA) Facility : ☐ NO ☐ Opted Out ☐ Yes	
Whether you wish to opt for Consolidated account statement (CAS) Facility : ☐ NO : CAS Not Required ☐ PH : Physical CAS Required ☐ E-mail : Opt for E-statement	

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	MOBILE NO. +91 _____ [(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. Yes No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" style="width: 100%; margin-top: 10px; border-collapse: collapse;"> <thead> <tr> <th style="width: 33%;">Stock Exchange Name/ID</th> <th style="width: 33%;">Clearing Member Name</th> <th style="width: 33%;">Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)									
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)											
<i>Easi</i>	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.												

Nomination Form

TM / DP										FORM FOR NOMINATION (To be filled in by individual applying singly or jointly)																	
Date	D	M	M	M	Y	Y	Y	Y	Y	UCC/DP ID	I	N						Client ID									
I/We wish to make a nomination. [As per details given below]																											
Nomination Details																											
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																											
Nomination can be made upto three nominees in the account.										Details of 1st Nominee						Details of 2nd Nominee						Details of 3rd Nominee					
1	Name of the nominee(s) (Mr./Ms.)																										
2	Share of each Nominee		Equally [If not equally, please specify percentage]							%						%						%					
										Any odd lot after division shall be transferred to the first nominee mentioned in the form.																	
3	Relationship With the Applicant (If Any)																										
4	Address of Nominee(s)																										
	City / Place :																										
	State & Country :																										
	Pin Code :																										
5	Mobile / Telephone No. of Nominee(s)																										
6	Email ID of nominee(s)																										
7	Nominee Identification details- [Please tick any one of following and provide details of same] a) Photograph & Signature b) PAN Card c) Aadhaar Card d) Saving Bank Account No. e) Proof of Identity f) Demat Account ID																										
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:																											
8	Date of Birth {in case of minor nominee(s)}																										
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}																										
10	Address of Guardian(s)																										
	City / Place :																										
	State & Country :																										
	Pin Code :																										
11	Mobile / Telephone no. of Guardian																										
12	Email ID of Guardian																										

13	Relationship of Guardian with nominee			
14	Guardian Identification details [Please tick any one of following and provide details of same] a) Photograph & Signature b) PAN Card c) Aadhaar Card d) Saving Bank Account No. e) Proof of Identity f) Demat Account ID			
		Name(s) of holder(s)		Signature(s) of holder*
Sole / First Holder (Mr./Ms.)				
Second Holder (Mr./Ms.)				
Third Holder (Mr./Ms.)				

* 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)

ACKNOWLEDGEMENT : Received from _____ nomination form.

Date : _____

Signature and TM / DP Seal _____

Declaration Form for opting out of nomination

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

A C Choksi Share Brokers Pvt.Ltd.

ITTS House, 2nd Floor, Shree Saibaba Marg,
Kala Ghoda, Mumbai - 400001.

UCC/DP ID	I	N						
Client ID (only for Demat account)								
Sole/First Holder Name								
Second Holder Name								
Third Holder Name								
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.								
Name and Signature of Holder(s)*								
1. _____ 2. _____ 3. _____								

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

Unique Client Code (UCC) Details Addition / Modification / Deletion Request Form

Application No.		Date	D	M	M	M	Y	Y	Y
-----------------	--	------	---	---	---	---	---	---	---

Please fill all the details in **Block Letters in English**

DP ID									Client ID							
-------	--	--	--	--	--	--	--	--	-----------	--	--	--	--	--	--	--

Permanent Account Number (PAN) of First / Sole Holder													
---	--	--	--	--	--	--	--	--	--	--	--	--	--

Account Holder's Details	
Name of First / Sole Holder	
Name of Second Holder	
Name of Third Holder	

☐ I/We request to add Unique Client Code (UCC)

Unique Client Code (UCC)											Exch ID	Segment ID	CM ID	TM ID

☐ I/We request to delink the Unique Client Code (UCC)

Unique Client Code (UCC)											Exch ID	Segment ID	CM ID	TM ID

☐ I/We like to delink / add the Unique Client Code (UCC) with all beneficial owner's (BOID) linked with above mentioned Permanent Account Number (PAN).☐ I/We like to delink / add the Unique Client Code (UCC) with below mentioned beneficial owner's (BOID).

DP ID									Client ID							
DP ID									Client ID							
DP ID									Client ID							

(If additional beneficial owner's need to be added, please continue in same format)

Reason for Add/Modify/Delete Unique Client Code (UCC):

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

A. BANK ACCOUNT(S) DETAILS**For Individuals & Non-individuals**

Bank Name	Bank Address	Bank Account No	Account Type: Saving / Current NRI / NRE / NRO	MICR No	IFSC 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 I mentioned on the document.

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participants Name	Depository Name NSDL / CDSL	Beneficiary Name	DP ID	Beneficiary ID

TRADING PREFERENCES

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

Exchanges	Segments	
NSE Ltd.	CASH 	F&O 
BSE Ltd.	CASH 	F&O 
BSE Star MF		

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

Client Declaration

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I / We are aware that I/we may be held liable for it.
- I confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non mandatory documents.
- I further confirm having read and understood the contents of the Rights and Obligations document(s), Risk Disclosure Document and Do's and Don't's. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for Information on Member's designated website, if any.
- I am hereby submitting self-certified Aadhar copy with my due consent for opening the above said account associated to my investment with ACCSBPL.

Date:

Place:



Signature of Client

INSTRUCTIONS / CHECK LIST

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

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

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

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

PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent during the last 3 years:

E. DEALING THROUGH AUTHORIZED PERSONS AND OTHER MEMBERS

If the client is dealing through any other Member / Authorized Person (AP), provide the following details (incase dealing with multiple Members/APs, provide details of all in a separate sheet containing all the information as mentioned below):

Member's / AP's Name: _____

Exchange: _____

Exchange's Registration number: _____

Concerned Member's Name with whom the AP is registered: _____

Pin Code: _____ Email ID: _____ Website: _____

Registered office address: _____

Fax: _____ Client Code: _____

Details of disputes/dues pending from/to Member/AP: _____

F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): _____ Physical ☐ ECN ☐
- Specify your Email id, if applicable: _____
- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): _____ Yes ☐ No ☐
- Number of years of Investment/Trading Experience: _____
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others (**Please attach separate sheet**)
- Any Other Information : _____

G. INTRODUCER DETAILS (OPTIONAL)

Name of the Introducer: _____

(Surname)

(Name)

(Middle Name)

Status of the Introducer: Authorised Person ☐ Remisier ☐ Authorised Person ☐

Existing Client ☐ Others ☐ please specify _____

Address of Introducer: _____

_____ Phone no. of the Introducer: _____

Signature of the Introducer:



DECLARATION

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

Place _____

Date _____



Signature of Client / Authorised Signatory

FOR OFFICE USE ONLY

BO ID _____ UCC Code allotted to the Client: _____

	Documents verified with Original	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 my/our website, if any, for the information of the clients.

For A C Choksi Share Brokers Private Limited_____
Signature of the Authorised Signatory

Date _____

(Seal and Stamp of the Stock Broker)**DISCLOSURE**

I/We have been informed by **A C Choksi Share Brokers Private Limited** (as required by SEBI regulation via circular # SEBI/MRD/Cir-42/2003 dated 19th November 2003) that, in addition to client based trading activities, **A C Choksi Share Brokers Private Limited** is involved in Proprietary trading as well.

Name of Client : _____

Signature :  _____

Date : _____

(To be filled by the Depository Participant)

DP ID	1	2	0	2	8	4	0	0	Client ID							
-------	----------	----------	----------	----------	----------	----------	----------	----------	-----------	--	--	--	--	--	--	--

	First / Sole Holder	Second Holder	Third Holder
Name			
Specimen Signature			

easi	☐ Yes, if yes, please contact your DP for details [Facility through CDSL's website : www.cdslindia.com wherein a BO can view his ISIN balances, transactions and value of the portfolio online.]	☐ No
-------------	--	-----------------------------

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

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 2018, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars / Notifications / Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.

10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 2018 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

Statement of account

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

Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

Public

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

Default in payment of charges

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

Liability of the Depository

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

Freezing/ Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.
25. The Joint holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority".

Redressal of Investor grievance

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

Public

Authorized representative

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

Law and Jurisdiction

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

Public

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, AUTHORISED PERSON AND CLIENTS as prescribed by SEBI and Stock Exchanges

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

CLIENT INFORMATION

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

MARGINS

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

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned

in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.

16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

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

DISPUTE RESOLUTION

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

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, authorised person and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

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

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges

41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/ stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

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



Signature of Client / Authorised Signatory

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

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security

- measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
 7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
 8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
 9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
 10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

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RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

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

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

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

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

Rumors about companies / currencies at times float in the market through word of mouth, newspapers,

websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.7 System Risk:

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

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

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

1. Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

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

2.1 Effect of “Leverage” or “Gearing”:

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

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

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

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and

policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

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

2.4 Risks of Option Writers:

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

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

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

4. GENERAL

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

Date : _____ Place : _____



Signature of Client / Authorised Signatory

GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of authorised person. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions: a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time. b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any. c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market. d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

DISPUTES/ COMPLAINTS

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

POLICIES & PROCEDURES

(Reference para 8 of SEBI Circular No. MIRSD/SE/CIR-19/2009 dated December 03, 2009)

1. **Mandatory Document:**

This is a mandatory /compulsory document from Broker (and not from SEBI / Exchange) and requires your utmost care, attention and understanding. This is an additional requirement from Broker which if contravenes any rules, regulations, articles, byelaws, circulars, directives and guidelines of SEBI and Exchanges shall be null and void.

2. **Dealing in Penny Stocks :**

Generally, the Broker warns clients to transact into any penny stocks as trading in such scripts is very risky. Further, the client is also required to adhere to exchange/members' guidelines and due diligence while trading in such scripts. As such, we the broker, do hereby warn the client not to deal in any penny stocks. However, we at our sole discretion, may allow or disallow the clients (on case to case basis) to deal in penny stocks, subject to rules, regulations, articles, byelaws, circulars, directives and guidelines of SEBI and Exchanges as well as considering the prevalent market and other circumstances and RMS policy, at related point of time.

3. **Clients Exposure Limit:**

The client's combined limit for Capital and Derivatives market, is fixed as per the Ledger balance in line with respective client's trade history/experience, if available, his financial capacity and/or credit worthiness and referrals. Further, Client's Ledger Credit balance, Securities holding in Beneficiary Account, POA stock as well as margin amount etc. is also being considered. The limit can be increased / decreased based on credit balance of funds / securities along with other criteria at Broker's sole discretion.

4. **Brokerage Rate :**

We the Broker shall charge a brokerage at the rate being agreed by you with us (including our branches or AP) prescribed in KYC document and Back office Software. However, we shall adhere to the maximum permissible limit (presently not to exceed 2.5 %) as may be prescribed by SEBI / Exchanges from time to time. On option segment of Exchange, the same is fixed at Rs. 100/- per lot.

5. **Penalty/Delayed payment Charges by either party :**

I am / we are aware and agree that pay-in of Securities or Funds are required to be delivered / made to you on T+2 day. In case of any default or if any amount is overdue from me / us over such period as may be allowed by you, ACCSBPL may charge penalty / delayed payment charges @ 18% per annum (Any changes in the rate shall be intimated to the client in writing) However, I am / we are aware and specifically agree that this is just an additional / ad-hoc facility and shall not be construed / resulted into permanent practice leading to funding by broker in contravention of applicable laws.

6. **Sell of Securities or Closing Open position without giving notice to the client, on account of non-payment of client's dues (limited to the extent of settlement/margin obligation)**

If a client fails to make payment of any consideration due to A C Choksi Share Brokers Private Limited (Hereafter referred as ACCSBPL) in respect of any one or more securities purchased by him before the pay-in date notified by the Exchange from time to time, ACCSBPL shall be at liberty to sell / liquidate the securities received in pay-out, as per the policy of ACCSBPL, after taking into account any amount lying to the credit of the Client. The profit/loss, if any on account of liquidation shall be to the account of the Client. Without prejudice to ACCSBPL other rights, ACCSBPL shall be entitled to liquidate/close out all or any of the Client's positions, without giving notice to the Client, for non-payment of margins or other amounts, outstanding debts, etc. ACCSBPL on best effort basis will try and inform the client and give him reasonable time for payment. However it will be the responsibility of client to track his margins/obligations by going through margin statements sent to the client on daily basis. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the Client.

Client's Securities can be kept in Client collateral account for margin purpose or onward transfer to Collateral Account or for transferring to Clearing Members. Excess securities, so held in "Client Collateral/Collateral" account will be released to clients along with their funds' settlement (i.e. once in every 30/90 days) after making necessary retention in accordance with exchange guidelines pertaining to the same.

ACCSBPL has the right but not obligation, to cancel all pending orders and to sell/close/ liquidate all open position /securities / shares when mark to market percentage reaches or crosses stipulated margin percentage, whichever is earlier. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. The client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

In accordance with SEBI circular CIR/HO/MIRSD/DOP/CIR/P/2019/2019 dated June 20, 2019 a stock broker (i.e. ACCSBPL) shall be entitled to liquidate the securities of the client in case of non-payment within 5 days from payout day. Such securities will be dealt with as per the RMS policy of broker, updated and displayed on website <http://www.acchoksi.com/> from time to time. As per the guidelines, Securities purchased by the clients will either be transferred to client's demat account or will be disposed off ; in case of non- payment within five days from payout; and hence the Running Account Authorization will be done for funds as per the relevant exchange circulars/guidelines and clauses applicable to settlement of securities shall be deemed to be deleted.

7. Shortages in Obligation and Internal Auction:

"Clients are required to make Securities/Funds payin on T+2 day. In case of default in payin of securities by the client and the shortage is at the member level i.e. internal shortage then, as per the exchange norms Close out will be at the highest price prevailing in the NSE from the day of trading till the auction day or 20% above the official closing price on the auction day, whichever is higher or as prescribed from time to time." In case of the default of securities pay-in by the client and the shortage is from the Exchange, auction value of the respective exchange plus penalty @ 2% (Any changes in the rate shall be intimated to the client in writing) plus brokerage and other statutory charges shall be recovered from the defaulting client. In the case of funds default by the client, the member shall be liquidating the stocks to recover the money. Any shortfall arising out of liquidating securities by the members shall also be recovered from the defaulting client along with interest and accordingly corresponding debits/credits will be passed as per the exchange requirements in the books of buyer.

8. Restrictions/Prohibition to take further position or closing existing position:

(To the extent of settlement / margin obligation)

Under any of the circumstances, such as, in case the client fails to meet his/her/its pay-in or margin obligations or clear the outstanding/debit balance with broker before permissible time limit or beyond such period as may be allowed by broker as per its RMS policy, the Client may not be permitted to take any fresh or further position until the clearance of earlier lawful dues, lawful obligation, lawful outstanding etc. Even, broker can firstly set-off or adjust the payment or securities towards various dues and obligation of the client and until the full clearance of the same, shall not allow taking further position.

Further, it would be the duty of the client to monitor his/her/its position with the Broker from time to time. In case of any delay or failure in meeting any lawful obligation, margin requirements etc. from client side, broker might close the existing position or open position without any further intimation to the client as per RMS policy. Such Circumstances may include (but not limited to):

- (1) failure to meet pay-in obligation on T+2 day,
- (2) delay in meeting the pay-in or margin requirement,
- (3) delay or failure in clearance of outstanding or lawful dues to the broker,
- (4) returning or frequent returning of cheques of the client,
- (5) Unnecessary / Unwarranted dispute from client without any substantial cause / reason,
- (6) Client's attitude of not coming to an amicable settlement for any dispute that can be settled without involvement of Exchange and /or SEBI,
- (7) As per prevalent RMS policy of the Broker,
- (8) Any direction from SEBI/Exchange or such other authorities,
- (9) Under such other circumstances as the Broker might think just and proper on case to case basis. Notwithstanding such as mandatory & voluntary client registration document/ arrangement, the Stock Broker shall have absolute discretion to reduce the volume of business of the Client or restrict dealings by the Client without any prior notice to the Client and/or authorised person interalia, having regard,
 - (i) to the volatility in the market;

- (ii) in view of impending price sensitive announcements;
- (iii) any restrictions in relation to volume of trading / outstanding business / margins stipulated by the Exchange / Stock Broker, political instability in the Country etc;
- (iv) presence of any other price sensitive factors;

9. Suspension / Deregistering of Client Account:

The Broker and/or client may suspend Client's account from further dealing in the securities market through the broker in following circumstances:

- (1) as per Client's written request, it must be submitted to Broker at its Mumbai H.O. duly acknowledged by Broker (subject to clearance of entire lawful outstanding /obligations),
- (2) Dormant or in-active status of client account beyond specified time limit as may be prescribed by Broker, Under any circumstances mentioned in (i) to (ix) above.

10. Such transaction date may relate to any of the following date, which ever is later:

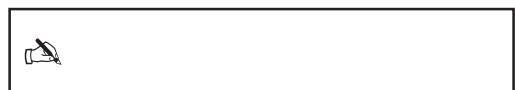
- (1) entry related to contract or bill generation for buy/sell transaction
- (2) entry related to payment of funds or securities by client
- (3) entry passed by the broker by way of JV due to any lawful dues / lawful obligation recoverable from Client.

11. Policy for Dormant/In-active account:

In case broker treats the account of client as a dormant / inactive account, the funds or securities lying with the broker shall be refunded / returned to clients immediately on demand by the client. (Subject to provision of monthly/quarterly settlements of funds & securities).

In order to reactivate the account, client needs to instruct the Broker in writing at least 2 days in advance at its Mumbai HO. The Broker will try to promptly reactivate the said Account. Such written request may also be sent by way of fax on 022 - 6159 5199 or by email to Compliance Department on compliance@acchoksi.com from client's own email account registered with the Broker. However, Broker may, in its own discretion, waive / reduce the period of 2 days as the circumstances may warrant on case to case basis. As per Broker's RMS policy, the account in which no transactions has taken place during the period of 12 months from the latest date of last transaction, the same shall be considered as Dormant or Inactive account.

I/WE HAVE THOROUGHLY READ AND UNDERSTOOD THE CONTENTS OF THE AFORESAID MANDATORY DOCUMENT AND THEREAFTER PUT MY SIGNATURE HEREIN BELOW:



Signature of Client / Authorised Signatory

TARRIF SHEET

CASH SEGMENT

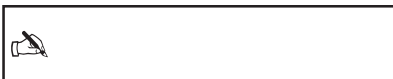
Brokerage Slab	Slab %		Minimum	
	First Leg	Second Leg	First Leg	Second Leg
Delivery based		Not Applicable		Not Applicable
Daily Square up				

DERIVATIVE SEGMENT

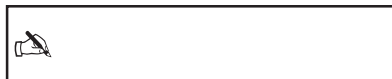
Brokerage Slab	FUTURE				OPTIONS			
	First Leg		Second Leg		First Leg		Second Leg	
	%	Minimum	%	Minimum	%	Minimum	%	Minimum
Daily Square up								
Open position / Settlement Square up			Not Applicable		Per Lot			
Expiry						Not Applicable		

Note : • The above rates are exclusive of transaction charge, Stamp Duty, Securities Transaction Tax and Service Tax which will be charged extra at the rate prevailing from time to time.

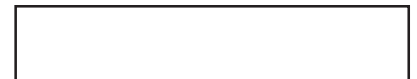
- I/We understand and agree that you can debit my accounts either for account opening charges / IBT software usage charges / adjustment of DP charges and / or for any additional services provided by you as per my / our oral / written requests.



**Signature of Client
Authorised Signatory**



**Authorised Person
Signature**



**Seal / Stamp of
Stock Broker**

Name _____ Date _____ Place _____

Tariff structure of A. C. Choksi Share Brokers Private Limited. (DP)

Please note all charges must be given at the time of giving instruction / DRF

Statutory charges at the time of account opening	Nil
Account Maintenance	1. NIL - If client has paid Refundable Deposit of Rs. 10000/- (Minimum for One Year) 2. Rs. 350/- for Individual & HUF (Category 1) 3. Rs. 525/- for Individual & HUF (Category 2) 4. Rs. 400/- for Individual & HUF (Category 3) 5. Rs. 1500/- for Corporate 6. Nil for holding below Rs. 50,000/- on any day during year (BSDA) 7. Rs. 100/- for holdings between Rs. 50,001/- to Rs. 2,00,000/- for any day during year (BSDA)
Demat	Rs. 100/- up to 10 Certificates and thereafter Rs. 10/- per Certificate (For all Schemes)
Remat	Rs. 100/- per Certificate upto a Certificate of 100 Shares and thereafter Rs. 50/- per Certificate of 100 Shares
Debit Transaction (Market Trades)	1. Rs. 16/- or 0.02% whichever is higher for Category 1-4 2. Rs. 18/- or 0.02% whichever is higher for Category 1-4 3. Rs. 11/- or 0.03% whichever is higher for Corporate Bo's 4. Rs. 50/- for BSDA A/c (For Both)
Off Market Transactions	Rs. 25/- or 0.04% whichever is higher
Pledge Creation	Rs. 100/- per request for all schemes
Pledge Creation Confirmation	Nil
Pledge Closure	Rs. 100/- per request for all schemes
Pledge Closure Confirmation	Nil
Other Charges	1. Service Tax + CESS as applicable 2. Rs. 510/- Towards POA Franking (Or Actual)

With effect from 1st April, 2020 the revised rate of stamp duty for all transactions which are reported on exchange platform.



Signature of First Holder



Signature of Second Holder



Signature of Third Holder

DP ID	28400	
About Us	A C Choksi Share Brokers Private Limited..ITTS House,2nd floor, 33, Shree Saibaba Marg, Kalaghoda, Mumbai 400 001 Tele : 61595100,5171/73 We are in the Capital Market since 1984 and are member of BSE & NSE and DP- CDSL , PMS , MF	
Services	We provide services to clients related to Broking Activities on BSE & NSE and also DP services.	
Tariffs	Statutory Charges at the time of Account Opening	NIL
	Advance / Deposit	NIL
	Account Maintenance	.Rs. 350 for individual and HUF, 2. NIL for holding upto Rs. 4.00.000/- and Rs. 100/- for holding between Rs. 4 Lac to Rs. 1000000/- for any day during year for BSDA
	Demat	Existing clients : Rs. 150/- upto 5 Certificates and thereafter Rs. 10/- per Certificate.
	Remat	Rs. 100/- per Certificate upto a Certificate of 100 Shares and thereafter Rs. 50/- per Certificate of 100 Shares
	Transaction (Debit)	for existing :1.Rs. 16/- or 0.02 % whichever is higher, 2. Rs. 18/- or 0.02 % whichever is higher 3. Rs. 11/- or 0.03% whichever is higher for corporate BO 4) Off market/ inter DP Rs. 25 or 0.04% whichever is higher 5.BSDA Rs. 100/- both
	Pledge Creation	1.If not under ACC Rs. 100/- per request(creation and closure), 2. Margin Pledge/ unpledge Rs. 15/-
	Pledge Creation Confirmation	Nil
	Pledge Closure	Rs. 100/- per Request for all schemes
	Pledge Closure Confirmation	Nil
	Pledge Invocation	Rs. 100/- per Request for all schemes
	Failed Instruction Charges	NIL
	Other Charges	POA -500/ GST as applicable , POA actual charges
	Designated Director Under PMLA	Mrs. Dipika A. Choksi
	Email id of Designated Director	depository@acchoksi.com
BSDA Charges	Yes	Remarks

SMS ALERT FACILITY

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

Definitions :

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

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act, 1956 and having its registered office at 17th Floor, P. J. Towers, Dalal Street, Fort, Mumbai 400 001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service".
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best efforts basis as per these terms and conditions.

Availability :

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

Receiving Alerts :

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/or the DP immediately in writing and the depository will make best possible efforts to rectify the errors as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.

8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

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

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

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

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

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

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

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

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

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

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

BO ID	1	2	0	2	8	4	0	0								
	(Please write your 8 digit DPID)								(Please write your 8 digit Client ID)							

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent

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

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

The mobile number is registered in the name of : _____

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

Signature 		
_____	_____	_____
Sole/First Holder	Second Holder	Third Holder

Place : _____ Date : _____

FATCA DECLARATION

To,
A. C. Choksi Share Brokers Private Limited
2nd Floor, I.T.T.S House, 33 Shree SaiBaba Marg,
Kalaghoda, Fort, Mumbai - 400 001.

Please fill the information below as requested	First Account Holder	Second Account Holder	Third Account Holder
Name of the Account Holder			
Customer ID			
City of Birth			
Country of Birth			
Address for Tax purpose	☐ Same as mailing address ☐ Same as permanent address	☐ Same as mailing address ☐ Same as permanent address	☐ Same as mailing address ☐ Same as permanent address
Address Type for the above	☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office	☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office	☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office
Nationality (if national of more than one country, please mention all the countries separated by a comma)			
Father's Name (mandatory if PAN not provided)			
Spouse's Name			
Identification Type-Documents submitted as proof of identity of the individual	☐ Passport ☐ PAN ☐ Election/Voter's ID card ☐ Driving License ☐ Aadhaar card/ letter ☐ NREGA Card Govt ID Card ☐ Others (pls specify)_____	☐ Passport ☐ PAN ☐ Election/Voter's ID card ☐ Driving License ☐ Aadhaar card/ letter ☐ NREGA Card Govt ID Card ☐ Others (pls specify)_____	☐ Passport ☐ PAN ☐ Election/Voter's ID card ☐ Driving License ☐ Aadhaar card/ letter ☐ NREGA Card Govt ID Card ☐ Others (pls specify)_____
Identification Number- for the identification type mentioned above			

Are you a tax resident of any country other than India?

- First account holder : Yes ☐ No ☐
- Second account holder : Yes ☐ No ☐
- Third account holder : Yes ☐ No ☐

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below:

Account holder details	Name of Customer	Country/(ies) of Tax residency #	Tax Identification Number (TIN)%	Identification Type (TIN or other %, please specify)
First				
Second				

To also include USA, where the individual is a citizen/ green card holder of USA

% In case Tax Identification Number is not available, Kindly provide functional equivalent\$

Certification: I/We have understood the information requirements of this Form as per the CBDT notified Rules 114F to 114H 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 also confirm that I/We have read and understood the Terms and Conditions below and Hereby accept the same. I/We understand that my personal details as provided / available in the bank records will be used for CBDT reporting.

Signed for and on behalf of	1st Holder	2nd Holder	3rd Holder
Signature			

CBDT Terms and Conditions

The Central Board of Direct Taxes(CBDT) 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 30days. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

CBDT Instructions

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number.

\$ It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form. In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA/ CRS Indicia observed (ticked)		Documentation required for Cure of FATCA/ CRS indicia
		If customer does not agree to be specified U>S> person/ reportable person status
1	U.S. place of birth	- Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purpose; - Non-US passport or any non-US government issued document evidence nationality or citizenship(refer list below); AND - Any one of the following documents: - Certified Copy of " Certificate of Loss of Nationality or - Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
2	Residence/ mailing address in a country other than India	- Self-certification(in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purpose; and - Documentary evidence (refer list below)
3	Telephone number in a country other than India (and no telephone number in India provided)	- Self-certification(in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purpose; and - Documentary evidence (refer list below)
4	Telephone number in a country other than India	If no Indian telephone number is provided - Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and - Documentary evidence (refer list below)

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

- Certificate of residence issued by an authorized government body*
- Valid identification issued by an authorized government body* (e.g. Passport, National identity card, etc.)

*Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.

Date:

To,

A C Choksi Share Brokers Private Limited

ITTS House, 2nd Floor,

33, Shree Saibaba Marg, Kalaghoda

Mumbai-400 001

I / We request you to send Electronic Transaction-cum-Holding Statement at Sole / First Holders Email Id Stated in the Account Opening Form or at below mentioned Email ID. ☐ Yes ☐ No

Re: Beneficial Owner (BO) Account No.

1	2	0	2	8	4	0	0								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

I/We _____
[name(s) of the BO(s)] had entered into agreement dated _____ with you at the time of opening of the aforesaid BO account.

Pursuant to the amendment in Clause 3 of the agreement (Annexure C to the Bye Laws of CDSL), I/We confirm having opted to receive the statement of accounts pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.

I/We confirm that the dispatch of statement of account to me/us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me/us with statement of my/our BO account. But, I/we reserve my/our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode, if such a demand is made in writing on you.

Email address: _____

I/We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch/ service of my/our statement of account on me/us shall not be binding upon you unless you are intimated in writing by me/us by acknowledged delivery.

Yours faithfully,

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

RUNNING ACCOUNT AUTHORISATION FORM**Voluntary**

Date: ____/____/____

Client Code : _____

Name: _____

To,
A. C. Choksi Share Brokers Private Limited,
2nd Floor, I.T.T.S. House, 33 Shree Sai Baba Marg,
Kalaghoda, Fort. Mumbai - 400001.

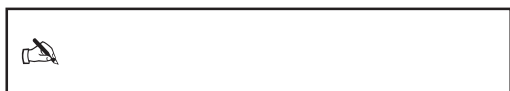
Dear Sir,

1. I/We hereby state that, I/we are aware of the norms relating to Pay-in & Pay-out of Funds and Securities. In order to facilitate operations and banking convenience, I/We hereby authorize you to maintain my/our fund account with you on a running account basis instead of daily settlement of funds due to me/us. Further, the Pay-out of Funds may be retained by you for the purpose of margins/exposures/collateral/any other obligations due to you. I/We also understand and agree that any credit amount lying with you will not attract any interest. I/We further understand that in case of non-payment of dues by me/us up to T+2 day, the securities received towards payout may be retained by you in the Client Unpaid Securities Accounts (CUSA) as per the applicable guidelines.
2. On my/our specific request, you may release the Funds and Securities due to me/us. While doing the fund settlement you may retain securities so held in Client Collateral / Collateral account towards any outstanding obligations on the settlement date and may also retain the funds expected to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. The excess securities so held in Client collateral/ collateral account may be released to me /us at the time of funds settlement as per my/our given preference and you may charge the cost of holding securities to my/our account with you.
3. I/We hereby agree that you will settle my/our account of funds at least once in a calendar quarter/month. While settling the account you will send, in physical or electronic form, the "Statement of Accounts (SOA)" including the details of retained Funds and Securities. I/we agree to bring to your notice any dispute arising from the SOA or settlement within seven working days from the date of receipt of the same, failing which it is agreed by me/us that the Statement of Accounts as issued by you is proper and correct.

My/Our preference for actual settlement of Funds is at least once in:

Calendar Quarter ☐Calendar Month ☐

4. I/we hereby agree that above stated periodic settlement of running account is not required in case I/we avail margin trading facility or for funds given by me/us towards collaterals/margin in the form of Bank guarantee (BG)/Fixed Deposit Receipts (FDR) directly in favor of CC/exchange. Margin trading account with no transaction for preferred retention period shall be settled as per the rules.
5. I/We hereby consent and authorize you to also retain an amount of up to Rs. 10,000/- (Ten Thousand Only) or any other sum as may be permitted by SEBI / Exchanges from time to time, while settling my / our account. I/We understand and agree that no interest will be payable on the amount of funds retained by you as above.
6. In respect of Capital and Derivatives Markets, I/We authorize ACCSBPL to retain Additional Margin Requirement of Maximum up to 125 % of Margin Requirement on the day of settlement to take care of any margin obligation arising in next five days.
7. However, I/We understand that I/we may revoke this Authority at any point of time, by giving prior written communication at your registered office.
8. I/We shall be liable for all losses, damages and actions which may arise as a consequences of your adhering to and carrying out my/our directions given above and further agree that you shall not be liable for any claim for loss or profit or for any consequential, incidental, special or exemplary damages, caused by retention of such Funds and Securities in this regard.

**Signature of Client / Authorised Signatory**

Authorization for debiting various depository charges:- (Yes / No)

- a) I hereby give my consent/authority to debit/recover all types of depository charges viz annual maintenance charges, inter settlement charges, any type of transaction charges as is levied on me for the transactions carried out in my demat account including any statutory levies, services tax or any other tax/charges/fees in/from my trading ledger having the captioned client code as maintained with ACCSBPL. I understand and agree that such depository charges will be debited in my trading ledger maintained with ACCSBPL irrespective of the ledger balance on periodically and/or as per the details provided by ACCSBPL.
- b) I instruct ACCSBPL to provide the requisite information periodically and/or on occasion basis of such charges levied on me to ACCSBPL with whom I have opened the trading account. I understand and consent that ACCSBPL shall have the right to recover the depository charges like any other trade dues payable by me from my trading ledger. I hereby further authorize ACCSBPL to set off a part or whole of the collateral/ledger balances/securities in my demat account i.e. by way of appropriation of the relevant amount of cash or by way of sell or transfer or liquidation/close out positions of all or some of the securities placed as collateral or lying in my demat account as stated above for the purpose of clearing any outstanding amount related to the aforesaid demat account maintained with ACCSBPL. Any and all losses and financial charges on account of such liquidation/close-out shall be borne by me.

Sharing of Data & Information:- (Yes / No)

- a) I have opened a trading account with ACCSBPL having the captioned client code and demat account with ACCSBPL-DP having the captioned client code and am interested in knowing about various financial products /facilities offered by your associate/group companies. I am aware that associate/group companies are required to obtain information about me and my transactions for providing various financial products/facilities.
- b) I authorize you, your group companies and associates to keep me informed with any financial product which ACCSBPL, its group companies and associates presently issue, deal in, or distribute or may, from time to time, launch, issue, deal in or distribute through e-mail, SMS, telephone, print media or otherwise as may be allowed.
- c) I hereby voluntarily accept and expressly authorize ACCSBPL to get the information from ACCSBPL-DP or from any other Depository Participant of its group/associate companies with whom I have the Demat account and share/disclose or use in any manner, the information/documents/data about me and our transactions, with group of associates companies which is offering the products / facilities. Information provided by me in the Trading and Demat Account Opening Kit. Transaction cum holding statement with ACCSBPL-DP and Any other related information. My holdings in stocks/securities. Ledger balances in my Trading/Demat Account across all Exchanges/Depositories.
- d) I authorize you To the extent appropriate for our relationship with you, personal information may be shared for the following purposes :-
- I. to comply with applicable laws, rules and regulations, including anti-terrorism, KYC, anti-money laundering and tax reporting rules and regulations
 - II. to comply with legal process, to respond to requests from public, regulatory or government authorities (including authorities outside your country of residency), and to allow us to pursue remedies and limit damage
 - III. to any of our associate / affiliate / group entities including our service providers performing delegated outsourced function to enable them to perform internal business processes (which facilitate transactions) such as risk management purposes, data analysis, audits, developing and improving new products and services, etc
 - IV. to any of our associate / affiliate / group entities to enable them to provide you with appropriate products and services
- e) I have no objection to ACCSBPL sharing the above information or any such other information, about me/us with its group/associate companies or affiliates. This is without legal obligation on you, your group companies and associates to so inform and you or they may, in their discretion, discontinue sending such information.

Name :

Place :



CLIENT IS REQUESTED TO REFER THE FOLLOWING NOTE BEFORE SIGNING

NOTE: The Client is required to note that the below mentioned clauses are not mandatory as per the Exchange and/or SEBI requirements. however, the same are the requirements of / from the AC Choksi Share Brokers Private Limited Ltd. (hereinafter referred to as ACCSBPL/ Broker / Stock Broker / Member). However, I am / we are (herein after referred to as the client) aware that I/we may revoke any or all the clause of this voluntary document upfront before signing or later on by communicating in writing by giving at least 15 days prior notice to Broker and in such case ACCSBPL reserves their right to take such decision as may be required in this regard. Further, this document will operate as my / our express authority in favour of ACCSBPL.

To : The Director,

AC Choksi Share Brokers Private Limited, Mumbai.

1. I / We hereby declare that I am / We are regular investor in the stock markets in India and that I am/we are a trader / hedger in the Stocks / currency markets in India as such I am / We are conversant with the laws, practices, rules, regulations, guidelines, circulars, notifications etc. prescribed by Securities & Exchange Board of India (SEBI), All segment of National Stock Exchange of India Ltd. (NSE) and All segment of BSE Ltd. (BSE).
2. I/We understand and agree that you can debit my accounts either for account opening charges / IBT software usage charges / adjustment of DP charges and/ or for any additional services provided by you as per my / our oral / written request.
3. I / We further declare that I am / We are aware of the illegal practices that are prevalent in the Stock Market and I/We assure you that I/We will not indulge into the same.
4. I / We further declare that I / We will not carry out any unfair trade practices such as Synchronized Deals, Structured Deals, Circular Trading, Insider Trading in the Capital & Derivatives Market, and currency derivatives segment.
5. I / We further declare and confirm that I / We will not place any order or carry out any trades / transactions on the Exchange which will reflect as an arrangement for profit or loss transactions or cross deals. Further, all the orders placed on the Exchange through you, will be in the normal market at normal / prevailing market prices and not at unrealistic prices where there is corresponding underlying securities positions in the cash or futures segment of the Exchange. In case, any of my transactions being declared as violate to any rules / regulations / byelaws / circulars / directions / guidelines etc. of the Exchange / SEBI / SCRA, I will be solely responsible for all penalties / charges / damages etc. levied from you by the Exchange and accordingly do hereby undertake to reimburse / pay the same to you.
6. I/ We further declare and confirm that the shares / securities provided / being provided to you are generally for the purpose of availing exposure limits / margin limits, I / We will not claim adversely or object about the same later on / in future. In case of fund pay in shortage from client, clients acknowledge that member has to make necessary pay in the exchange within time.
7. I / We further declare that as on the date of registration as your client, I / We am eligible to transact in the Stock / currency market as per applicable rules, regulations, byelaws, circulars, guidelines, etc concerned regulatory Authorities and have not been banned / restrained to transact in the securities market by any Exchange or statutory authorities and whatever permissions / prior permissions, as may be required from Government authority(ies) have been obtained by me / us. In case of any further action taken by the said relevant authorities, I We shall intimate the same to you.
8. I / We declare and confirm upfront that the Securities / contracts delivered, if any, towards margin / collaterals / pay-in obligation etc. shall absolutely be free from any lien / encumbrances of whatsoever nature.
9. (a) In consideration of you- the Stock Broker agreeing to this, I / We, the Client agree that if any amount is overdue from me including the interest on delayed payment, the same shall be adjusted by you from dues owed to the Client. Thus I as your Client authorizes you - the Stock Broker to make adjustments and/or to set off a part or whole of the securities placed as margin/collateral, and/or any credit in any account as a Client so maintained with you - the Stock Broker against the outstanding dues in any of the account maintained by me either with the Stock Broker. I/ We further authorize you - the Stock Broker to sell the securities to recover any lawful dues payable by me / us to the Stock Broker. This authorization shall be treated as standing authorization and any entry passed or adjustments done by you (backed by actual fund transfer) and the Stock Broker to give effect to this authorization shall be binding on me / us as your Client. I, as your Client understands and confirms that this authorization forms basis for you as a Stock Broker to give trading limits and for any other facilities offered by you to me. Merely on the ground that according to the rules bye-laws and regulations of the exchange and SEBI, you - the Stock Broker, are required to maintain segmentwise / exchangewise account of the Client, I / We, as your Client shall not dispute such entries passed by you as a Stock Broker.
- (b) I/We do hereby agree and declare that I am /We are aware that the Exchanges require the Stock Broker to maintain the client account for each Exchange/ segment separately. For this purpose Stock Broker may allocate the payment received from client and payments made to the client to any of the account of the client for any exchange/ segment.

Similarly the client authorizes the Stock Broker to pass such entries to adjust the debit or credit balance of the client in trading account of or Exchange/segment to the other or vice versa (backed by actual fund transfer). Such consolidation and segregation of client account as maintained by the Stock Broker shall be binding on the client. Without affecting the generality of the aforesaid

10. As regard the placement of orders, although you had insisted on written instruction for placing orders, considering the practical difficulties faced by me in complying the same, I would request you to accept orders placed by any other approved means other than written. Further note that, I do not require any order/trade placement or confirmation or cancellation slips so request you not to send the same to me in connection to any of above, I therefore confirm and acknowledge that any telephonic instruction given by me either on recording lines or else will serve the dual purpose in lieu of written instruction.
11. I / We have no objection if due to punching errors you might have to change the client codes for trade done as the circumstances may warrant, within the parameters and rules and regulations of the Exchange.
12. You being a Member disclosed that you are doing proprietary trading alongwith client Business and as such I/We have noted the same.
13. I / We specifically consented not to indulge into any off-market transactions leading to dubba-trading.
14. I / We as your client agrees that any failure by you as a Stock Broker to exercise or enforce any rights conferred upon you by this terms and mandatory & voluntary client registration document shall not be deemed to be a waiver of any such rights or operate so as to bar the exercise or enforcement thereof at any subsequent time or times.
15. I / We, as your client do hereby agrees with respect to Compliance with Prevention of Money Laundering Act, 2002 (PMLA), as amended till date and from time to time and rules, regulation and guidelines framed hereunder and confirms that all the information which may be required by you (Stock Broker) to enable you to comply with the provisions of the PMLA and the rules, regulation and guidelines framed there under has been disclosed including issues related to "beneficial ownership", if any and also undertakes to promptly provide the same on an on-going basis whenever required. As also I / We hereby agree to keep you (Stock Broker) informed of any change in the information earlier provided in/ through Know Your Client Form or otherwise in this regard immediately in writing.
16. All fines / penalties and charges, exemplary damages etc. levied upon you due to my acts/deeds or transactions including illegal acts or unfair trade practices etc. as may be levied by the Exchange(s) and suffered by the Member, shall be passed on to me and recovered by you from my account either by way of debiting the same or otherwise.
17. For delayed payments / Overdue payments, I am / We are aware and agree that you may charge delayed payment charges @ 2 % p.m. (change of rates shall be intimated to the client in writing).
18. I/We, further specifically agrees that without prejudice to the Member's other rights including the right to refer a matter to arbitration, the member shall be entitled to liquidate / close out all or any of my / our position with oral intimation to me / us, of margins, other lawful amounts due from me / us to you as a member, an exchange, a clearing house, any agent or authorised person of the member and/or other individual, partnership, corporation, company, organization, association, trust or other entity acting for or on behalf of the member, or any other lawful outstanding debts etc. Any and all losses, financial charges and / or incidental expenses incurred by the member on account of such liquidation /closing out shall (at the discretion of the member) be reimbursed by me / us and/or authorised person/charged to and borne by me and/or authorised person/deductible by the member from the monies and / or collateral margin of mine, brokerage of the authorised person available with the member.
19. **Sharing of Information :** I / We agrees to immediately furnish information to the member in oral / writing or the member suomoto (on its own) in receipt of such information in the event that is likely to have an adverse effect of my /our financial position. Upon receipt of such information, the member shall be entitled to take such action (in its absolute discretion) as it may consider necessary in order to protect its own interest, including without limitation, liquidation / closing out all / any outstanding positions of mine / ours under oral intimation to me / us or my /our authorised person. Any and all losses, financial charges and /or incidental expenses incurred by the member on account of such liquidation / closing out shall (at the discretion of the member) be reimbursed by me / us.
20. **Investment Advice :** The Client acknowledges that the Member shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment. The Client also acknowledges that the Member's Employees are not authorized to give any such advice and that the Client will not solicit or rely upon any advice from member or any of its employees. The Client agrees that in the event of the Member or any employee or official of the member providing any information to the client, he / she / it may act upon the same at sole risks, costs and consequences and the member shall not be liable / responsible for the same. The client further agrees to always keep himself /herself / itself abreast of all requirements to be complied with by him/ her / it under various laws including Foreign Exchange Management Act (FEMA), 1999 wherever applicable and the rules, regulations, directions, circulars, notifications, guidelines etc. issued under or pursuant to the relevant laws from time to time.

21. Further any investment views given by the member are market views only. Reacting on the same will not render member liable for the same. All risk will be of client only. Members do not intend to manage the portfolio of client.

22. **RESTRICTIONS ON REGULATION OF DEALINGS :**

The Stock Broker shall at its discretion decide, from time to time, the volume of business which the Client (introduced directly or by the authorised person) may transact during any trading day on BSE/NSE/MCX-SX. Notwithstanding such as a mandatory & voluntary client registration document / arrangement. The stock Broker shall have absolute discretion to reduce the volume of business of the Client or restrict dealings by the Client without any prior notice to the Client and/or authorised person inter alia, having regard:

- (i) to the volatility in the market;
- (ii) in view of impending price sensitive announcements;
- (iii) any restrictions in relation to volume of trading / outstanding business / margins stipulated by the Exchange / Stock Broker, political instability in the Country etc;
- (iv) presence of any other price sensitive factors;
- (v) failure by the Client to maintain the applicable collateral / margin; and / or
- (vi) delays by the Client in meeting his/her/its obligation / dues relating to the business / dealings done under this mandatory & voluntary client registration document or pursuant to any other agreement / arrangement between the Client and the Stock Broker.

23. In case of fund pay in shortage from client, clients acknowledge that member has to make necessary pay in to the exchange within time.

24. **REPRESENTATIONS AND WARRANTIES**

- (1) I / We agree that I / We have the required legal capacity and I am / We are authorized to enter into mandatory & voluntary client registration document / Rights and obligation documents and am capable of performing my obligations and undertakings pursuant to KYC Form submission and allotment of Client Code by the Stock Broker / ACCSBPL. Also I / We hereby warrants that the terms of the presents are not in contravention of any rights of any party with whom I / We have any arrangements, at any time during and prior to the execution of this mandatory & voluntary client registration document with Stock Broker/ACCSBPL.
- (2) All actions required to be taken to ensure compliance of all the transactions, which I/We as your client, may enter into pursuant to this mandatory & voluntary client registration document with all applicable laws, shall be completed by me/us prior to such transaction being entered into.
- (3) Any instructions given by my Authorised representative to you — the Stock Broker or to Stock Broker's representative, shall be binding on me. (Applicable only for Non-Individuals).
- (4) I / We specifically agree and confirm that though the Rights and obligation documents / terms and other mandatory & voluntary client registration document has been divided into sections governing transactions in various segments/services the mandatory & voluntary client registration document shall be binding on the parties in its entirety. Entering into this mandatory & voluntary client registration document governing transactions in multiple segments/services shall not be a reason for disputing any transaction or account of client with the Stock Broker/ACCSBPL.
- (5) I / We agree to provide and continue to provide all details about me / us as may be required by the Stock Broker / ACCSBPL including but not restricted to PAN Number or Unique Identification Number (issued by SEBI) and states that all details and facts represented to the Stock Broker / ACCSBPL are true.
- (6) I / We represents and warrants to the Stock Broker / ACCSBPL that all the information provided and statements made in the clients account application are true and correct and are not misleading (whether by reason of omission to state a material fact or otherwise) and I am / We are aware that the Stock Broker / ACCSBPL has agreed to provide the Stock Broker's / ACCSBPL's service to me / us as a client on the basis inter alia, of the statements made in client's account application.

I/We hereby give this declaration to you without any coercion, with sound mind and voluntarily to you which shall be part of my Client Registration Form and mandatory & voluntary client registration document executed on the dates mentioned therein. I/We hereby confirm and declare that the details / information and documents/ proofs submitted / provided towards KYC Documents or otherwise are full, accurate as well as true and correct to the best of my / our knowledge and belief and nothing has been concealed therein. In case any information / details found to be false / untrue / misleading / misrepresenting, I am / We are aware that I/We may held liable for it.

I/We understand and am/are aware that the aforesaid consents are purely voluntary and have been given to you for smoother operations of my / our client account with you as our broker. Further, these standing instructions are valid from the date the client / trading account is opened with you and will be valid and operational until revoked by me /us by giving notice in writing to your compliance officer only. Any entries / transactions and acts, deeds, things etc. carried out by broker in accordance with this authorization shall be binding on me / us.

I / We, hereby accept and agrees to the above mentioned terms and conditions and request you to kindly open my account with ACCSBPL. In case of any breach of any terms as mentioned hereinabove, I/we, will be liable to indemnify you for all losses on accounts of the same.

Yours faithfully,



Signature of Client /Authorised Signatory

Date:

To,
A C Choksi Share Brokers Private Limited
IITS House, 2nd Floor,
33, Shree Saibaba Marg,
Kala Ghoda, Mumbai - 400 001.

Dear Sir,

Sub: Authority Letter Cum Confirmation of Mobile number and Email Id.

I / We hereby declare that I / We are using

Mobile no : _____

Held in the name of : _____

Email id : _____

I/ We hereby consent to receive information on the above mentioned mobile number and / or email id; and that any information received on the mobile number and email id mentioned above is / are accessible to me on regular basis and I / We state that the Company shall not be liable in any of the following situations:

- if any information is not checked by me / us;
- in case of disconnection of the services of the mobile service provider;
- in case of discontinuance of usage of email by me/ us;
- in case the mobile number is registered under Do not Call Registry or register the same in future and the same is not disclosed by you;
- In case the mails sent are received under the junk or spam folder;
- in case of use / misuse of the mobile number or email id by any other person.

I / We also agree that the Company shall not be held responsible in any case for providing information on the above mentioned mobile number and email id.

I / We also undertake that my / our number at present is not registered under Do not Call Registry and for such transactional / servicing calls and / or SMSs / emails made by or on behalf of A C Choksi Share Brokers Private Limited. I / We shall not lodge a complaint for violation of TRAI guidelines or any other guidelines on unsolicited phone calls and SMSs and also not lodge a complaint under Information Technology Act, 2000 or any other guidelines for the sending of emails. In case in future, I / We register for 'Do not Call', I / We shall make you aware well in advance by written intimation of 7 days to revoke this undertaking till my account remains active with you.

I/We also undertake to intimate any change in the mobile number or email id in writing to the Company; till then, the said information stands to be valid. I/We declare that to the best of my/our knowledge and belief the information furnished herein above is true and complete.

Thanking you,

Yours faithfully,



Signature of Client / Authorised Signatory

AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE

Required for issuance of Contract Notes, Statement of Account and other documents on the client's registered e-mail id. (For Cash & Futures & Options Segment)

To,
A C Choksi Share Brokers Private Limited
Mumbai

Sir,
I/We hereby consent to receive from A C Choksi Share Brokers Private Limited (ACCHOKSI) the digital contract notes, bills, ledgers, transaction statements, demat statement of accounts/ holding statement(s)/ bills/ other statements, notices, circulars, amendments and such other correspondence documents, records by whatever name called in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 and the rules made thereunder to my below mentioned email id (said email id).

E-mail Id: _____

I/We further hereby agree that the ACCHOKSI shall fulfill the legal obligation, if the above documents are sent electronically to the said e-mail id. In this regard, I/we further confirm and agree that:

- i. The above is my/ our personal E-mail id. I/ We shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of the above mentioned e-mail account. A C Choksi Share Brokers Private Limited shall not be liable to or responsible for any breach of secrecy. I/We will be solely responsible for the security of the information provided on my/ our aforesaid e-mail id.
- ii. Any change in the email-id shall be communicated by the client through a physical letter to the broker. For internet clients the request for change of email id may be made through the secured access by way of client specific user id and password.
- iii. E-mails sent to any of the above mentioned e-mail account, which has not bounced back, shall be deemed to be duly delivered to me/us.
- iv. A C Choksi Share Brokers Private Limited shall not take cognizance of out-of-office/ out of station auto replies and I/We shall be deemed to have received such electronic mails.
- v. Such Statements shall be deemed to have been delivered on the day when the e-mail is sent by A C Choksi Share Brokers Private Limited (Provided the mail has not bounced back)
- vi. A C Choksi Share Brokers Private Limited may at its discretion discontinue to send me/us the Statements in physical form.
- vii. A C Choksi Share Brokers Private Limited shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof.
- viii. A C Choksi Share Brokers Private Limited shall not be liable for any problem, which arises at my/our computer network because of my/our receiving any Statement from A C Choksi Share Brokers Private Limited.
- ix. I/We shall inform A C Choksi Share Brokers Private Limited by way of a letter in writing duly signed by me or inform through internet platform if there is any change in the E-mail given above.
- x. I/We undertake to check the Statement and bring the discrepancies to your notice within the time period as specified under the relevant circulars, rules and regulations of the exchange/SEBI. My/Our non-verification or not accessing the Statement on regular basis shall not be a reason for disputing the same at any time.

Whenever I/We want to discontinue the said facilities, I/We shall inform to A C Choksi Share Brokers Private Limited immediately in writing.

I/We further agree that A C Choksi Share Brokers Private Limited will not be responsible (provided the same is not informed to the Trading Member) for non receipt of documents sent via electronic delivery due to change in/incorrect e-mail address/ correspondence address as mentioned or any other reason which inter alia include technical reasons or malfunction of my/our computer system/server/internet connection etc. which is beyond the Trading Member Control.

Further I/We agree and undertake to indemnify A C Choksi Share Brokers Private Limited and that they will not be held liable/ responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of this information or pursuant to any litigation cases, complaints, actions, etc that may arise in future on account of my/ our above authorization request.

I/We further agree that A C Choksi Share Brokers Private Limited may at its sole discretion also provide such Statements in physical form.

Yours faithfully,



Signature of Client / Authorised Signature

Client Code: _____ Client Name: _____ Cell No.: _____

Note: This authority letter should be signed by client only and not by any authorised person on his behalf or any holder of the power of attorney.

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date

DP ID	1	2	0	2	8	4	0	0	Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To,

A C Choksi Share Brokers Private Limited

ITTS House, 2nd Floor, Kala Ghoda, Mumbai - 400 001.

Dear Sir / Madam,

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

☐ **OPTION 1:**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account though I / we have issued a Power of Attorney (POA) / registered for eDIS / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney holder - Clearing Member / by PMS manager/ for executing delivery instructions through eDIS.

Yours faithfully

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

OR

☐ **OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a POA/registered for eDIS / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member / by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

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

----- (Please Tear Here) -----

Acknowledgement Receipt (DP to BO)

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

DP ID	1	2	0	2	8	4	0	0	Client ID								
Name of the Sole / First Holder																	
Name of Second Joint Holder																	
Name of Third Joint Holder																	

For **A C Choksi Share Brokers Private Limited**

Seal / Authorised Signatory

FINANCIAL STATUS AND OTHER DETAILS

a. Annual Income (Last 3 years from the date of the opening of this account)

1st Year:

- | | | | |
|---|---|---|--|
| ☐ upto ₹ 1 lac | ☐ ₹ 1 lac to ₹ 2 lacs | ☐ ₹ 2 lacs to ₹ 5 lacs | ☐ ₹ 5 lacs to ₹ 10 lacs |
| ☐ ₹ 10 lacs to ₹ 25 lacs | ☐ ₹ 25 lacs to ₹ 50 lacs | ☐ ₹ 50 lacs to ₹ 1 crore | ☐ ₹ 1 crore and above |

2nd Year:

- | | | | |
|---|---|---|--|
| ☐ upto ₹ 1 lac | ☐ ₹ 1 lac to ₹ 2 lacs | ☐ ₹ 2 lacs to ₹ 5 lacs | ☐ ₹ 5 lacs to ₹ 10 lacs |
| ☐ ₹ 10 lacs to ₹ 25 lacs | ☐ ₹ 25 lacs to ₹ 50 lacs | ☐ ₹ 50 lacs to ₹ 1 crore | ☐ ₹ 1 crore and above |

3rd Year:

- | | | | |
|---|---|---|--|
| ☐ upto ₹ 1 lac | ☐ ₹ 1 lac to ₹ 2 lacs | ☐ ₹ 2 lacs to ₹ 5 lacs | ☐ ₹ 5 lacs to ₹ 10 lacs |
| ☐ ₹ 10 lacs to ₹ 25 lacs | ☐ ₹ 25 lacs to ₹ 50 lacs | ☐ ₹ 50 lacs to ₹ 1 crore | ☐ ₹ 1 crore and above |

b. Networth Details (as on the date of account opening)

- | | | | |
|---|---|---|--|
| ☐ upto ₹ 1 lac | ☐ ₹ 1 lac to ₹ 2 lacs | ☐ ₹ 2 lacs to ₹ 5 lacs | ☐ ₹ 5 lacs to ₹ 10 lacs |
| ☐ ₹ 10 lacs to ₹ 25 lacs | ☐ ₹ 25 lacs to ₹ 50 lacs | ☐ ₹ 50 lacs to ₹ 1 crore | ☐ ₹ 1 crore and above |

c. Please tick mark the additional applicable category to you

- ☐ Non resident client
- ☐ High net-worth client (having annual income + networth of more than ₹ 1 crore)
- ☐ Trust, Charities, NGOs and organizations receiving donations
- ☐ Company having close family shareholdings or beneficial ownership
- ☐ Civil Servant or family member or close relative of civil servant
- ☐ Bureaucrat or family member or close relative of bureaucrat
- ☐ Current or Former MP or MLA or MLC or their family member or close relative
- ☐ Politician or their family member or close relative
- ☐ Current or Former Head of State or of Governments or their family member or close relative
- ☐ Senior government/judicial/ military officers or their family member or close relative
- ☐ Senior executives of state-owned corporations or their family member or close relative
- ☐ Companies offering foreign exchange offerings
- ☐ None of the above

I hereby further confirm/undertake that the investments/trading done in securities market are from my own/borrowed sources of funds and I confirm that the funds utilized for trading activity by me is in compliance with the rules, regulations and guidelines stipulated under PMLA.

Signature:



Client Name: _____

Date: _____

Place: _____

CLIENT PROFILE SHEET

1. Please specify your profile

- ☐ A. Day trader ☐ B. Speculator ☐ C. Arbitrageur ☐ D. Hedger
☐ E. Businessman ☐ F. Long Term Investor ☐ G. Short Term Investor ☐ H. Other (please specify)

2. Please specify your preferred investment time horizon

- ☐ A. Less than one year ☐ B. One to three years ☐ C. Three to five years
☐ D. Five to ten years ☐ E. More than ten years

3. Please specify your Objective / Purpose of Investment-

- ☐ A. Returns from my Investment would supplement my income (Additional Source of Income)
☐ B. I invest so that I can save money for some future need though I don't have a clear financial plan
☐ C. Wealth Planning – My objective for investment is very clear and I am looking at long term.

4. Please specify your preference to invest

- ☐ A. Equity / Derivatives ☐ B. Commodities ☐ C. Mutual Funds ☐ D. Structured Products
☐ E. Bullion (gold, silver, etc) ☐ F. Debt instruments (FD, post office schemes, bonds, etc)
☐ G. Other (Please Specify) _____

5. Please specify amount you plan/prefer to set aside for investment every year (INR)

- ☐ A. Less than 1,00,000 ☐ B. 1,00,001 – 5,00,000 ☐ C. 5,00,001 – 10,00,000 ☐ D. 10,00,001 and above

6. Please specify your existing Assets / Investments

Assets	Value	Assets	Value
Equity		Bullion	
Mutual Fund		Cash	
Insurance		Commodities	
Property		Loans	
Debt Instrument		Other Investment	
Total Rs.			

7. Please specify your existing Liabilities / Borrowings

Liabilities	Value	Liabilities	Value
Loans (All types)		Bank O/D	
Mortgages		Creditors	
Line of Credit		Other Liabilities	
Credit cards			
Total Rs.			

8. Please classify yourself as an Investor specifying your risk appetite/tolerance for investment

- ☐ A. Very conservative ☐ B. Fairly conservative, but with a view to returns
☐ C. Willing to take risks to improve returns ☐ D. Willing to take more risk than most to improve returns

I/We understand that in the capacity of Stock broker you have taken above specification for my/our client profiling. 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.

I/We have read and understand Risk Disclosure Document for Capital Market and Derivatives Segment. In light of the risk involved, I/we will undertake transactions only if I/we understand the nature of transaction and the extent of exposure to the risk for an investment.

Even though I/we have given my/our profiling above, the same may vary from time to time depending on the financial and other conditions at that point of time. I/We also may choose to make an investment that may expose me to higher risk than the risk profile given above. The transactions should be executed in such circumstances and my profiling given above should not come in a way for any such execution.

Signature: 

Client Name: _____

Date: _____

Place: _____

**FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATE ENTITY
ON COMPANY'S LETTERHEAD**

CERTIFIED TRUE COPY OF THE MINUTES OF MEETING OF THE BOARD OF DIRECTORS OF M/s. _____ AND having its

Regd. Office at _____
held on _____ at Mumbai.

"Resolved that a Securities /Demat account be opened with A. C. Choksi Share Brokers Pvt. Ltd. and the authorized person (s) be and are hereby individually authorized to sign and execute all required agreements /documents, execute requests for dematerialization and /or rematerialization of securities, sign and issue instruction to debit and credit securities account as well as issue instructions and we hereby honor and abide by all instructions related to said depository operations.

NAME	DESIGNATION	SPECIMAN SIGNATURE
_____	_____	_____
_____	_____	_____
_____	_____	_____

OR the company may authorize such persons from time to time and to act on any instruction so given relating to the account . The mode of this singly/jointly operable.

"Further RESOLVED THAT a certified true copy of this resolution be forwarded to M/S.A.C.Choksi Share Brokers Pvt.Ltd. and broker be instructed to act thereupon."

CERTIFIED TRUE COPY.

Obtained from Minutes Book.

For _____

Chairman / Company Secretary.

**FORMAT DECLARATION TO BE GIVEN BY PARTNERSHIP/
PROPRIETOR SHIP FOR TRADING ON LETTERHEAD OF THE FIRM**

To,
A C Choksi Share Brokers Private Limited
IITS House, 2nd Floor,33, Shree Saibaba Marg,
Kala Ghoda, Mumbai - 400 001.

Date: _____

Dear Sir,

We refer to the trading account opened with you in the name of _____ and declare and authorize you as under:

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a Partnership/Proprietor firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the delivery / collateral / margin obligations pursuant to the trading operations, we authorize you to recognize the beneficiary Account No. _____ with Depository Participant _____ opened as a account in the name of the partners/proprietors of the firm.

We agree that all the aforesaid obligations of the firm will be handled and completed through transfers to / from the above mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

We Authorize _____, partner/proprietor in the firm to execute / sign and submit such documents, agreements deeds etc. as may be necessary to the mandatory & voluntary client registration document and engage in business with A C Choksi Share Brokers Private Limited and to sell, purchase, endorse, negotiate and do all other things that may be necessary to engage in business on behalf of the partnership/proprietorship.

Signature by all partners/proprietors of the Firm:

Name of Partners/Proprietors (in BLOCK LETTERS)	SIGNATURE
	
	
	

HUF DECLARATION

To,
A C Choksi Share Brokers Private Limited
IITS House, 2nd Floor,
33, Shree Saibaba Marg,
Kala Ghoda, Mumbai - 400 001.
Dear Sir

Date:- _____

I hereby request you to open our trading account with you, for our HUF Being karta of family Name _____, I hereby declare that following is the list of members in our HUF, as date of Application, as below

Client Code :- _____

Sr.No	Name of Family Member	Date Of Birth DD/MM/YY	Gender	Relationship with Karta	Signature
1					
2					
3					

I hereby also declare that the particulars given me as stated above are true of the best of my Knowledge as on date for making this Application to open Account.

I agree that any false/misleading information given by me of suppression of any material information will render my said account liable for termination and further action, Further, I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking You,

Karta (Affix stamp of HUF)

FOR HUF ACCOUNT ONLY

From : _____
Name : _____

Address : _____

Date : _____

To,
A C Choksi Share Brokers Private Limited
2nd Floor, ITTS House, 33, Shree Sai Baba Marg,
Kala Ghoda, Fort, Mumbai - 400 001.

Dear Sirs
Re : Power of Attorney

Mr. _____

of _____ has given power of attorney dated _____

In favour of A C Choksi Share Brokers Private Limited. for pay - in of securities for the purpose of settlement in respect of beneficiary account No 1208400 _____ (Dp - Id 28400-cdsl).

We co-parceners of _____

hereby confirm our consent to the power of attorney given by the karta and we hereby authorize you to act under that power of attorney.

Yours faithfully

Signature with Rubber Stamp of HUF

Name of the family member

Signature

1. _____

2. _____

3. _____

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

Name of holder _____ **PAN of the holder** _____

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



Date____/____/____

Name & Signature of the Authorised Signatories

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

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

(Signatures should be preferably in black ink). **(In case of more authorised signatories, please add annexure)**

Declaration

For the purpose of account opening, I/We hereby declare that the details provided on the KRA/CKYC page downloaded from KRA System by you, are true and correct till date. 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, I/We are aware that I/We be held liable for it.

Acknowledgment from Client

Client Code: _____

BO ID: _____

To; **A C Choksi Share Brokers Private Limited**

I / We acknowledge the receipt of a copy of executed Client Registration Form including KYC details, Tariff Sheet, Rights & Obligations, and Risk Disclosure Documents along with all other mandatory and voluntary client registration documents.

Client Name : _____

E-mail ID : _____

Mobile No. : _____

For Trading Account – Client Code: _____ **For Demat Account - BO ID :** _____

Sign of 1st Holder  _____ **Sign of 1st Holder**  _____

Sign of 2nd Holder  _____ **Sign of 2nd Holder**  _____

Sign of 3rd Holder  _____ **Sign of 3rd Holder**  _____



Broker/Agent Code ARN:	ARN -1913	SUB-BROKER		EUIN	
Unit Folder Information					
Name of the First Applicant :					
PAN Number :		KYC :		Date Of Birth :	
Name of Guardian:				PAN:	
Contact Address:					
City:	Pin code:	State:		Country:	
Tel.(Off):	Tel.(Res):		Email:		
Fax(Off):	Fax(Res):		Mobile:		
Mode of Holding:			Occupation:		
Name of the Second Applicant :					
PAN Number :		KYC :		Date Of Birth :	
Name of the Third Applicant :					
PAN Number :		KYC :		Date Of Birth :	
Other Details of Sole / 1st Applicant					
Overseas Address(In case of NRI Investor):					
City:	Pin code:	Country:			
Bank Mandate Details					
Name of Bank:				Branch:	
A/C No.:	A/C Type:			IFSC Code:	
Bank Address:					
City:	Pin code:	State:		Country:	
Nomination Details					
Nominee Name:				Relationship:	
Guardian Name(If Nominee is Minor):					
Nominee Address:					
City:	Pin code:	State:			
Declaration and Signature					
I/We confirm that details provided by me/us are true and correct. The ARN holder has disclosed to me/us all the commission (In the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Fund From amongst which the scheme is being recommended to me/us.					
Date :			Place :		
1st applicant Signature :		2nd applicant Signature :		3rd applicant Signature :	

NACH/EC S/AUTO DEBIT

MANDATE INSTRUCTION FORM

UMRN

Date

D

D

M

M

Y

Y

Y

Y

Tick (✓)

CREATE

MODIFY

CANCEL

Sponsor Bank Code

Utility Code

I/We hereby authorize

BSE Limited

to debit (tick ✓)

SB/CA/CC/SB-NRE/SB-NRO/Other

Bank a/c number

with Bank

IFSC

or MICR

an amount of Rupees

R

FREQUENCY

☐ Mthly

☐ Qtly

☐ H-Yrly

☐ Yrly

☒ As & when presented

DEBIT TYPE

☐ Fixed Amount

☒ Maximum Amount

Reference 1 (Mandate Reference No.)

Phone No.

Reference 2 (Unique Client Code-UCC)

Email ID

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

PERIOD

From

D

D

M

M

Y

Y

Y

Y

To

DD

MM

YYYY

Or

☐ Until Cancelled

1.

2.

3.

- This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/ Corporate to debit my account, based on the instructions as agreed and signed by me.

- I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / Corporate or the bank where I have authorized the debit.

OFFICE DOCUMENTARY REQUIREMENT AS PER SEBI GUIDELINES ALSO REFER CKYC AND KRA CHECKLIST

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

1. ** PAN card with photograph. **Mandatory Document**
2. ** Unique Identification Number (UID) (Aadhaar) **Mandatory Document**

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

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

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

