

**CROWN**

*Your Goals.... Our Solutions*

**CROWN CONSULTANTS (P) LTD.**

## Client Agreement NSE/BSE/CDSL

Cash, F & O Currency Segment & DP

<b>CROWN CONSULTANTS (P) LTD.</b> <b>In-Person Verification &amp; PAN Verified</b> Details of person doing verification	
Employee Name :	
Employee Code :	
Employee Designation :	
Employee Signature :	
Date :	Place :
Client Name :	
Client Code :	
DP ID : 12070000 / .....	
Sub Broker Name & Code :	
Authorised Person Name & Code :	



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## CROWN CONSULTANTS (P) LTD.

Member SEBI Registration Number :		Code:	Date
NSE Cash	INE 230807630	Member Code : 08076	17-10-1995
NSE F & O	INF 230807630	Member Code : 08076	23-05-2000
NSE Currency	INB 230807630	Member Code : 08076	26-08-2008
BSE Cash	INE 230807630	Member Code : 6683	01-02-2018
BSE F & O	INF 230807630	Member Code : 6683	01-02-2018
BSE CD	INB 230807630	Member Code : 6683	01-02-2018

### Registered office & Correspondence office address :

#### **CROWN CONSULTANTS (P) LTD.**

G6/7, Amit Indl. Estate, Ground Floor, Near Gandhi Hospital,  
Dr. S.S.Rao Road, Parel (East) Mumbai - 400 012

Phone : +91-22- 4069 0701 Fax : +91-22- 4069 0777

### Compliance Officer's Details :

Name : Jagannath Udaynath Muni  
E-mail Id : compliance@crownsec.com Phone No. : +91-22- 40690701

### CEO/MD's Details :

Name : Pramod Chandaliya  
E-mail Id : pramod.chandaliya@crownsec.com Phone No. : +91-9322500703

### Clearing Member Details : (Applicable for Derivative & Currency Segment SMC Global Securities Ltd.

Address : 11/68, Shanti Chamber Pusha Road  
New Delhi-110005  
Tel No. : 23258312-17  
Fax No. : 91-11-23263297  
SEBI Regn. No. : INB/F/E 230771431, 30/08/1995, 03/07/2000, 25/08/2000

For any grievance/dispute please contact **CROWN CONSULTANTS (P) LTD.** at the above address or email Id: compliance@crownsec.com and Phone No. 91-22-4069 0701. In case not satisfied with the response, please contact the concerned exchange(s) at NSE Tel.: 022-26598190 • Email : ignse@nse.co.in, BSE Tel. : 022-22728517 • Email : mahesh.ghandi@bseindia.com • CDSL Tel. : 1800225533 • Email : complaints@cdslindia.com

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**PART - I**

**MANDATORY DOCUMENTS**




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## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

**A. IMPORTANT POINTS:**

1. Trading accounts cannot be opened in joint names.
2. Client should sign at all the places marked as .
3. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/ Trustees and whole time directors and persons authorized to deal in securities on behalf of company/ firm/others.
4. 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.
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 address 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/PIO Card/OCI Card and overseas address proof is mandatory.
10. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
11. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
12. 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.
13. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

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

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

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

**D. Exemptions/clarifications to PAN**

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

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

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

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

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

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

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

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

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

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

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

### D. Exemptions/clarifications to PAN

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

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

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

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

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

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



**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual / First Holder**



**Important Instructions:**

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

**For office use only**

(To be filled by financial institution)

Application Type\*  New  Update

KYC Number  (Mandatory for KYC update request)

Account Type\*  Normal  Simplified (for low risk customers)  Small

**1. PERSONAL DETAILS** (Please refer instruction **A** at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector )	
	<input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife <input type="checkbox"/> Student
	<input type="checkbox"/> B-Business			
	<input type="checkbox"/> X- Not Categorised			

**PHOTO**

Signature / Thumb Impression

**2. 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 section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\*

Tax Identification Number or equivalent (If issued by jurisdiction)\*

Place / City of Birth\*  ISO 3166 Country Code of Birth\*

**3. PROOF OF IDENTITY (PoI)\*** (Please refer instruction **C** at the end)

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

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

**4. PROOF OF ADDRESS (PoA)\***

**4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS** (Please see instruction **D** at the end)

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

Address Type\*  Residential / Business  Residential  Business  Registered Office  Unspecified

Proof of Address\*  Passport  Driving Licence  UID (Aadhaar)

Voter Identity Card  NREGA Job Card  Others  please specify

Simplified Measures Account - Document Type code

**Address**

Line 1\*

Line 2

Line 3

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

4.2 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')

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\* (Applicable if section 2 is ticked)

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

Line 1\*

Line 2

Line 3  City / Town / Village\*

State\*  ZIP / Post Code\*  ISO 3166 Country Code\*

5. CONTACT DETAILS (All communications will be sent on provided)

T   Tel. (Res)   Mobile

FAX   Email ID

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

Addition of Related Person  Deletion of Related Person KYC Number of Related Person (if available\*)

Related Person Type\*  Guardian of Minor  Assignee  Authorized Representative

Prefix  First Name  Middle Name  Last Name

Name\*

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

PROOF OF IDENTITY [PoI] OF RELATED PERSON\* (Please see instruction (H) at the end)

A- Passport Number  Passport Expiry Date

B- Voter ID Card

C- PAN Card

D- Driving Licence  Driving Licence Expiry Date

E- UID (Aadhaar)

F- NREGA Job Card

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

S- Simplified Measures Account - Document Type code  Identification Number


7. REMARKS (if any) Mobile no. / Email-ID) (Please refer instruction F at the end)

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

Date :    Place :

 (2/48) Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

IPV Done / Documents Received  Certified Copies

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
IPV Done on Date <input type="text"/>	Name <b>C R O W N C O N S U L T A N T S ( P ) L T D</b>
Emp. Name <input type="text"/>	Code <b>I N O 9 7 5</b>
Emp. Code <input type="text"/>	<input type="text"/>
Emp. Designation <input type="text"/>	
Emp. Branch <input type="text"/>	
<input type="text"/>	[Institution Stamp]
<input type="text"/>	

[Employee Signature]

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



Application No. :

Please fill in ENGLISH and in BLOCK LETTERS

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

1. Name of Applicant (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

2. Date of Incorporation | d | d | / | m | m | / | y | y | y | y |  
 Place of Incorporation

3. Registration No. (e.g. CIN)   
 Date of commencement of business | d | d | / | m | m | / | y | y | y | y |

4. Status Please tick (✓)  Private Ltd. Co.  Public Ltd. Co.  Body Corporate  Partnership  Trust / Charities / NGOs  
 FI  FII  HUF  AOP  Bank  Government Body  Non-Government Organisation  
 Defence Establishment  Body of Individuals  Society  LLP  Others (Please specify)

5. Permanent Account Number (PAN) (MANDATORY)  Please enclose a duly attested copy of your PAN Card

**PHOTOGRAPH**

Please affix the recent passport size photograph of Authorised Signatory and sign across it

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

1. Address for Correspondence  
  
 City / Town / Village  State  Country  Postal Code

2. Contact Details  
 Tel. (Off.) (ISD) (STD)  Tel. (Res.) (ISD) (STD)   
 Mobile (ISD) (STD)  Fax (ISD) (STD)   
 E-Mail Id.

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Bank Account Statement  Registered Lease / Sale Agreement of Office Premises  
 Any other proof of address document (as listed overleaf).(Please specify)   
 \*Not more than 3 Months old. Validity/Expiry date of proof of address submitted | d | d | / | m | m | / | y | y | y | y |

4. Registered Address (If different from above)  
  
 City / Town / Village  State  Country  Postal Code

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Bank Account Statement  Registered Lease / Sale Agreement of Office Premises  
 Any other proof of address document (as listed overleaf).(Please specify)   
 \*Not more than 3 Months old. Validity/Expiry date of proof of address submitted | d | d | / | m | m | / | y | y | y | y |

**C. Other Details (please see guidelines overleaf)**

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

2. Net-worth in ₹. (\*Net worth should not be older than 1 year)  as on (date) | d | d | / | m | m | / | y | y | y | y |

3. Name, PAN, DIN/UID, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors  
 (Please use the Annexure to fill in the details)

4. Is the entity involved/providing any of the following services  YES  NO  
 - For Foreign Exchange / Money Changer Services  YES  NO - Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)  YES  NO  
 - Money Lending / Pawning  YES  NO

5. Any other information:

**DECLARATION**

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

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

(1/48)

(1/48)

Place:  Date:

**FOR OFFICE USE ONLY**

AMC/Intermediary name OR code  
**Crown Consultants (P) Ltd.**

(Originals Verified) Self Certified Document copies received  
 (Attested) True copies of documents received

Seal/Stamp of the intermediary should contain  
 Staff Name  
 Designation  
 Name of the Organization  
 Signature  
 Date

## 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/PIDCard/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 or photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

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

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

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

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

### D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCI, 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
<b>Corporate</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year)</li> <li>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly</li> <li>• Copies of the Memorandum and Articles of Association and certificate of incorporation</li> <li>• Copy of the Board Resolution for investment in securities market</li> <li>• Authorised signatories list with specimen signatures</li> </ul>
<b>Partnership firm</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• Certificate of registration (for registered partnership firms only)</li> <li>• Copy of partnership deed</li> <li>• Authorised signatories list with specimen signatures</li> <li>• Photograph, POI, POA, PAN of Partners</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• Certificate of registration (for registered trust only). Copy of Trust deed</li> <li>• List of trustees certified by managing trustees/CA</li> <li>• Photograph, POI, POA, PAN of Trustees</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>• PAN of HUF</li> <li>• Deed of declaration of HUF/List of coparceners</li> <li>• Bank pass-book/bank statement in the name of HUF</li> <li>• Photograph, POI, POA, PAN of Karta</li> </ul>
<b>Unincorporated Association or a body of individuals</b>	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Banks/Institutional Investors</b>	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Army/Government Bodies</b>	<ul style="list-style-type: none"> <li>• Self-certification on letterhead</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act</li> <li>• List of Managing Committee members</li> <li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary</li> </ul>

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

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

Sr. No.	PAN	Name	DIN (For Directors) / Aadhaar Number / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph

(2/48) 

Name & Signature of the Authorised Signatory(ies)

Date  /  /



# For Second Holder / Authorised Signatory

## CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual



### Important Instructions:

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

<b>For office use only</b>	Application Type* <input type="checkbox"/> New <input type="checkbox"/> Update	
(To be filled by financial institution)	KYC Number <input style="width: 100px;" type="text"/>	(Mandatory for KYC update request)
	Account Type* <input type="checkbox"/> Normal <input type="checkbox"/> Simplified (for low risk customers) <input type="checkbox"/> Small	

### 1. PERSONAL DETAILS (Please refer instruction A at the end)

	Prefix <input style="width: 30px;" type="text"/>	First Name <input style="width: 100px;" type="text"/>	Middle Name <input style="width: 100px;" type="text"/>	Last Name <input style="width: 100px;" type="text"/>
<input type="checkbox"/> Name* (Same as ID proof)	<input style="width: 30px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>
Maiden Name (If any*)	<input style="width: 30px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>
Father / Spouse Name*	<input style="width: 30px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>
Mother Name*	<input style="width: 30px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>	<input style="width: 100px;" type="text"/>
Date of Birth*	<input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> - <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> - <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/>			
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> )		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector	
	<input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife
	<input type="checkbox"/> B-Business	<input type="checkbox"/> Student		
	<input type="checkbox"/> X- Not Categorized			

PHOTO

Signature / Thumb Impression

### 2. 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 section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\*

Tax Identification Number or equivalent (If issued by jurisdiction)\*

Place / City of Birth\*  ISO 3166 Country Code of Birth\*

### 3. PROOF OF IDENTITY (PoI)\* (Please refer instruction C at the end)

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

<input type="checkbox"/> A- Passport Number <input style="width: 100px;" type="text"/>	Passport Expiry Date <input style="width: 60px;" type="text"/>
<input type="checkbox"/> B- Voter ID Card <input style="width: 150px;" type="text"/>	
<input type="checkbox"/> C- PAN Card <input style="width: 80px;" type="text"/>	
<input type="checkbox"/> D- Driving Licence <input style="width: 150px;" type="text"/>	Driving Licence Expiry Date <input style="width: 60px;" type="text"/>
<input type="checkbox"/> E- UID (Aadhaar) <input style="width: 100px;" type="text"/>	
<input type="checkbox"/> F- NREGA Job Card <input style="width: 150px;" type="text"/>	
<input type="checkbox"/> Z- Others (any document notified by the central government) <input style="width: 150px;" type="text"/>	Identification Number <input style="width: 100px;" type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code <input style="width: 40px;" type="text"/>	Identification Number <input style="width: 100px;" type="text"/>

### 4. PROOF OF ADDRESS (PoA)\*

#### 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

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

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)		
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input style="width: 100px;" type="text"/> please specify	
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input style="width: 40px;" type="text"/>			

#### Address

Line 1\*

Line 2

Line 3

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*



# For Third Holder / Authorised Signatory

## CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual



### Important Instructions:

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

<b>For office use only</b> <i>(To be filled by financial institution)</i>	Application Type* <input type="checkbox"/> New <input type="checkbox"/> Update	
	KYC Number <input type="text"/>	<i>(Mandatory for KYC update request)</i>
	Account Type* <input type="checkbox"/> Normal <input type="checkbox"/> Simplified (for low risk customers) <input type="checkbox"/> Small	

### 1. PERSONAL DETAILS *(Please refer instruction A at the end)*

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> <input type="text"/> )		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector )	
	<input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired <input type="checkbox"/> Housewife	<input type="checkbox"/> Student
	<input type="checkbox"/> B-Business			
	<input type="checkbox"/> X- Not Categorised			

PHOTO

Signature / Thumb Impression

(1/48)

### 2. 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 section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\*

Tax Identification Number or equivalent (If issued by jurisdiction)\*

Place / City of Birth\*  ISO 3166 Country Code of Birth\*

### 3. PROOF OF IDENTITY (PoI)\* *(Please refer instruction C at the end)*

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

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

### 4. PROOF OF ADDRESS (PoA)\*

#### 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS *(Please see instruction D at the end)*

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

Address Type\*  Residential / Business  Residential  Business  Registered Office  Unspecified

Proof of Address\*  Passport  Driving Licence  UID (Aadhaar)

Voter Identity Card  NREGA Job Card  Others

Simplified Measures Account - Document Type code

**Address**

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*







**4.2 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')

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

**4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\*** (Applicable if section 2 is ticked)

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

Line 1\*

Line 2

Line 3  City / Town / Village\*

State\*  ZIP / Post Code\*  ISO 3166 Country Code\*

**5. CONTACT DETAILS** (All communications will be sent on provided)

T   Tel. (Res)   Mobile

FAX   Email ID

**6. DETAILS OF RELATED PERSON** (In case of additional related persons, please fill 'Annexure B1') (please refer instruction **G** at the end)

Addition of Related Person  Deletion of Related Person KYC Number of Related Person (if available\*)

Related Person Type\*  Guardian of Minor  Assignee  Authorized Representative

Prefix  First Name  Middle Name  Last Name

Name\*

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

**PROOF OF IDENTITY [PoI] OF RELATED PERSON\*** (Please see instruction **H** at the end)

A- Passport Number  Passport Expiry Date

B- Voter ID Card

C- PAN Card

D- Driving Licence  Driving Licence Expiry Date

E- UID (Aadhaar)

F- NREGA Job Card

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

S- Simplified Measures Account - Document Type code  Identification Number


**7. REMARKS (if any)** Mobile no. / Email-ID) (Please refer instruction **F** at the end)

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

Date :   Place :

 Signature / Thumb Impression of Applicant

**9. ATTESTATION / FOR OFFICE USE ONLY**

**IPV Done / Documents Received**  Certified Copies

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
IPV Done on Date <input type="text"/>	Name <b>C R O W N C O N S U L T A N T S ( P ) L T D</b>
Emp. Name <input type="text"/>	Code <b>I N O 9 7 5</b>
Emp. Code <input type="text"/>	<input type="text"/>
Emp. Designation <input type="text"/>	
Emp. Branch <input type="text"/>	
<input type="text"/>	[Institution Stamp]
<input type="text"/>	

[Employee Signature]

**KNOW YOUR CLIENT (KYC) APPLICATION FORM/Applicant/Sole/Ist Holder**

**OTHER DETAILS**

**Gross Annual Income Details (please specify):**

Income Range per annum  Below ₹ 1 Lac  ₹ 1-5 Lac  ₹ 5-10 Lac  ₹ 10-25 Lacs  Above ₹ 25 Lacs

OR Net-worth as on       \_\_\_\_\_ (Net worth should not be older than 1 year)

**Occupation (please tick any one and give brief details)**

Private Sector  Public Sector  Government Service  Business  Professional  
 Retired  Housewife  Student  Agriculturist  Others \_\_\_\_\_

**Please tick, if applicable**  Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)

**Any Other Information :** .....

**TRADING ACCOUNT RELATED DETAILS**

**A. BANK ACCOUNT(S) DETAILS**

**Bank Name (1) :** .....

**Branch Address :** .....

.....Pin Code:

Bank Account No.

Account Type  Saving  Current  Others-in case of  NRI  NRE  NRO

MICR Number           IFSC Code :

**Bank Name (2) :** .....

**Branch Address :** .....

.....Pin Code:

Bank Account No.

Account Type  Saving  Current  Others-in case of  NRI  NRE  NRO

MICR Number           IFSC Code :

**B. DEPOSITORY ACCOUNT(S) DETAILS**

Sr. No.	Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary name	DP ID	Beneficiary ID (BO ID)
1.	Crown Consultants (P) Ltd.	CDSL		12070000	
2.					
3.					

**C. 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	Cash Segments	Signature	Derivatives Segments	Signature
NSE	Cash	<input type="checkbox"/> (3/48)	F&O	<input type="checkbox"/> (4/48)
			Currency	<input type="checkbox"/> (5/48)
NSE	SLBM	<input type="checkbox"/> (6/48)		
BSE	Cash	<input type="checkbox"/> (7/48)	F&O	<input type="checkbox"/> (8/48)
			Currency	<input type="checkbox"/> (9/48)
BSE	SLBM	<input type="checkbox"/> (10/48)		

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

**D. PAST ACTIONS**

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

- .....
- .....
- .....

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

• If Client is dealing through the sub-broker, provide the following details :

Sub-broker's Name : .....

SEBI Registration No. : .....

Registered Office Address : .....

.....Pin Code :

Phone : ..... Fax: .....

Website : .....

• Whether dealing with any other stock broker/sub-broker  
(if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of Stock Broker : .....

Name of Sub-broker (if any) : .....

Registered Office Address : .....

.....Pin Code :

Client Code :        Exchange .....

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

.....

**F. ADDITIONAL DETAILS**

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) :

Physical Contract Note

Electronic Contract Note

Specify your Email id, if applicable : .....

- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)

ONLINE

OFFLINE

- Number of years of Investment/Trading Experience ..... Years

- Any other information : .....

**G. INTRODUCER DETAILS**

Name of the Introducer : .....

Status of the Introducer :  Sub-broker  Remisier  Authorized Person  Existing Client  
 Employee  Others, Please specify .....

Address of the Introducer : .....

Pin Code :

Phone No. of the Introducer : .....

Signature of the Introducer  .....

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

I/We wish to nominate

I/We do not wish to nominate

Name of the Nominee : .....

Relationship with the Nominee : .....

PAN of Nominee :  Date of Birth of Nominee :

UID of Nominee :

Address of Nominee : .....

City/Town/Village : ..... Pin Code :

State : ..... Country : .....

Phone No. : Tel. (Office) : ..... Tel. (Res.) ..... Mobile : .....

**If Nominee is a minor, details of guardian**

Name of the Guardian : .....

Address of Guardian : .....

City/Town/Village : ..... Pin Code :

State : ..... Country : .....

Phone No. : Tel. (Office) : ..... Tel. (Res.) ..... Mobile : .....

Signature of Guardian : .....

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

**1st Witness**

Name : .....

Address : .....

Pin Code :

Signature :  .....

**2nd Witness**

Name : .....


Address : .....

Pin Code :

Signature :  .....

**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.

Name(s) of the Client	Signature of the Client
	 (11/48)

Date :

Place : .....

NSE CASH SEGMENT					
	Trading			Delivery	
	Minimum Rs.			Minimum Rs.	Percent
		1st Side	2nd Side		
General Rates					
Special Rates					

BSE CASH SEGMENT					
	Trading			Delivery	
	Minimum Rs.			Minimum Rs.	Percent
		1st Side	2nd Side		
General Rates					
Special Rates					

NSE EQUITY FUTURES					
	Same Day			Carry	
	Minimum Rs.			Minimum Rs.	Percent
		1st Side	2nd Side		
General Rates					
Special Rates					

BSE EQUITY FUTURES					
	Same Day			Carry	
	Minimum Rs.			Minimum Rs.	Percent
		1st Side	2nd Side		
General Rates					
Special Rates					

NSE EQUITY OPTIONS					
	Same Day			Carry	
	Minimum Rs.			Minimum Rs.	Percent
		1st Side	2nd Side		
General Rates					
Special Rates					

BSE EQUITY OPTIONS					
	Same Day			Carry	
	Minimum Rs.			Minimum Rs.	Percent
		1st Side	2nd Side		
General Rates					
Special Rates					

Signature  (12/48)



NSE CURRENCY FUTURES					
	Same Day			Carry	
	Minimum Rs.			Minimum Rs.	Percent
		1st Side	2nd Side		
General Rates					
Special Rates					

BSE CURRENCY FUTURES					
	Same Day			Carry	
	Minimum Rs.			Minimum Rs.	Percent
		1st Side	2nd Side		
General Rates					
Special Rates					

NSE CURRENCY OPTION					
	Same Day			Carry	
	Minimum Rs.			Minimum Rs.	Percent
		1st Side	2nd Side		
General Rates					
Special Rates					

BSE CURRENCY OPTION					
	Same Day			Carry	
	Minimum Rs.			Minimum Rs.	Percent
		1st Side	2nd Side		
General Rates					
Special Rates					

SLBM			
	Minimum Rs.		
		1st Side	2nd Side

- The above rates are exclusive of transaction charge, Stamp Duty, Securities Transaction Tax, GST, Sebi Fees which will be charged extra at the rate prevailing from time to time.
- The General rates as mentioned here shall be applied unless the special rates as may be agreed by the sub broker/Authorised Person / Introducer and client and the same are mentioned here.

Signature  (13/48) \_\_\_\_\_



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## FATCA / CRS DECLARATION FOR INDIVIDUAL ACCOUNTS

**Note** - The information in this section is being collected in order to comply with Foreign Account Tax Compliance Act (FATCA) requirements pursuant to amendments made to Income-tax Act, 1961 read with Income-tax Rules, 1962.

For more information refer: <http://www.incometaxindia.gov.in/dtaa> & <http://www.oecd.org>

### Part A (All fields are mandatory) (All fields are mandatory)

#### Section I

Particulars	Details of Account Holder
Client Code / Demat A/c Number / PAN	
Name of Account Holder	
Type of Address given at KYC KRA (Please Tick) ✓	(a) Residential <input type="checkbox"/> (b) Business <input type="checkbox"/> (c) Registered Office <input type="checkbox"/>
Country of Citizenship*	
Country of Birth*	
Place within the country of Birth	
Country of Tax Residence*	
POA granted to a person outside India	Yes <input type="checkbox"/> No <input type="checkbox"/> (if yes, please give detail in Section II)
Address or telephone number outside India	Yes <input type="checkbox"/> No <input type="checkbox"/> (if yes, please give detail in Section II)

\* If your answer is other than 'INDIA', please fill Section II of the form, else go to declaration & acknowledgment

#### Section II - Other information (Please fill in BLOCK LETTERS)

Please list below the details, confirming ALL countries of tax residency/ permanent residency/ citizenship and ALL Tax Identification Numbers

Country of Tax residency	Tax identification No	Tax identification document (TIN or functional equivalent)

It is mandatory to supply a TIN or functional equivalent (in case TIN not available) if the country in which you are tax resident issues such identifiers. If no TIN /functional equivalent is yet available or has not yet been issued, please provide an explanation below:

### Declaration & Acknowledgement

I have read and understood the information requirements and the Terms and Conditions mentioned in this Form (read along with the FATCA & CRS Instruction) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform CROWN for any modification to this information promptly, i.e., within 30 days. I further agree to abide by the provisions on 'Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) on Automatic Exchange of Information (AEOI).

Customer Signature	 (14/48)	Date	

### Terms and Conditions

The CBDT has notified Rules 114F to 114H, as part of the Income Tax Rules, 1962, which require Indian Financial Institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our unit 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 for ensuring appropriate withholding from the folio (s) or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with us or our group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

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 attached with this form.

In case investor has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, investor to provide relevant Curing Documents as mentioned below:

FATCA/ CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	<ol style="list-style-type: none"> <li>1. Self -certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</li> <li>2. Non-US passport or any non-US government issued document <b>evidencing nationality or citizenship</b> (refer list below); <b>AND</b></li> <li>3. <b>Any one</b> of the following documents:               <ol style="list-style-type: none"> <li>a. Certified Copy of "Certificate of Loss of Nationality or</li> <li>b. Reasonable explanation of why the customer does not have such a certificate despite</li> </ol> </li> </ol>
Residence/ mailing address in a country other than India	<ol style="list-style-type: none"> <li>1. 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; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>
Telephone number in a country other than India	<p><b><i>If no Indian telephone number is provided</i></b></p> <ol style="list-style-type: none"> <li>1. 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; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol> <p><b><i>If Indian telephone number is provided along with a foreign country telephone number</i></b></p> <ol style="list-style-type: none"> <li>1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; <b>OR</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>
Standing instructions to transfer funds to an account maintained in a country other than India (other than depository accounts)	<ol style="list-style-type: none"> <li>1. 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; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>

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

1. Certificate of residence issued by an authorized government body\*
2. 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.**



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# SUPPLEMENTARY KNOW YOUR CLIENT (KYC), FATCA, CRS & ULTIMATE BENEFICIAL OWNERSHIP (UBO) SELF CERTIFICATION FORM (FOR NON-INDIVIDUALS)

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

Name of the entity							
Type of address given at KRA	Residential or Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office			
PAN				Date of Incorporation	D D	M M	Y Y Y Y
City of incorporation							
Country of incorporation							

### ADDITIONAL KYC INFORMATION

<b>Gross Annual Income (Rs.) [Please tick ( )]</b>	<input type="checkbox"/> Below 1 Lac	<input type="checkbox"/> 1 - 5 Lacs	<input type="checkbox"/> 5 - 10 Lacs	<input type="checkbox"/> 10 - 25 Lacs	<input type="checkbox"/> >25 Lacs - 1 Crore	<input type="checkbox"/> >1 Crore
<b>OR</b>						
<b>Net-worth</b>	Rs. _____ as on			D D	M M	Y Y Y Y (Not older than 1 year)
<b>Politically Exposed Person (PEP) Status*</b> (Also applicable for authorized signatories / Promoters / Karta / Trustee / Whole time Directors)	<input type="checkbox"/> I am PEP <input type="checkbox"/> I am Related to PEP <input type="checkbox"/> NotApplicable					
*PEP is 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>Non-Individual Investors involved/providing any of the mentioned services</b>	<input type="checkbox"/> Foreign Exchange/Money changer Services <input type="checkbox"/> Gaming/Gambling/Lottery/Casino Services <input type="checkbox"/> Money Lending/Pawning <input type="checkbox"/> None of the above					

### FATCA & CRS Declaration

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India  Yes  No  
(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Sr. No.	Country	Tax Identification Number <sup>%</sup>	Identification Type (TIN or Other <sup>%</sup> ; please specify)
1.			
2.			
3.			

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

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

\_\_\_\_\_

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

1.	We are a Financial institution (Refer 1 of Part C) or Direct reporting NFE (Refer 3(vii) of Part C) (please tick as appropriate)	<input type="checkbox"/>	<input type="checkbox"/>
	<b>GIIN not available</b> (please tick as applicable)	<input type="checkbox"/> Applied for	<input type="checkbox"/> Not obtained – Non-participating FI
		<input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category	<input type="checkbox"/> (Refer 1A of Part C)

**GIIN** \_\_\_\_\_

**Note:** If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

Name of sponsoring entity \_\_\_\_\_

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

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

**UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)**

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

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)  
 Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part (C))			
Country of Tax residency*			
PAN*			
Address	Zip _____ State: _____ Country: _____	Zip _____ State: _____ Country: _____	Zip _____ State: _____ Country: _____
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office
Tax ID %			
Tax ID Type			
City of Birth			
Country of Birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) §			

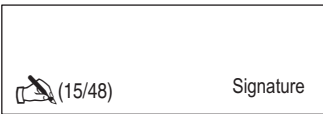
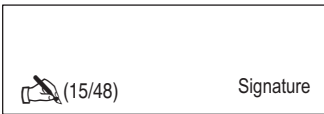

\* To include US, where controlling person is a US citizen or green card holder  
 # If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.  
 % In case Tax Identification Number is not available, kindly provide functional equivalent  
 § Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

**FATCA - CRS Terms and Conditions**

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




**Certification**

I / We have read and understood the information requirements and the Terms and Conditions mentioned in this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me / us on this Form is true, correct and complete. I / We hereby agree and confirm to inform CBCPL for any modification to this information promptly. I / We further agree to abide by the provisions of the Scheme related documents inter alia provisions on Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) on Automatic Exchange of Information (AEOI).

Name			
Designation			
 (15/48)     Signature	 (15/48)     Signature	 (15/48)     Signature	Place _____ Date     /     /

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client :

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

I / We undertake that we have made the client aware of 'Policy and 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 Crown Consultants (P) Ltd.**

Date

**Authorised Signatory**

\_\_\_\_\_  
**Seal/Stamp of the Stock Broker**

**INSTRUCTIONS/ CHECK LIST**

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

\* In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.
2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. **For Individuals**
  - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/subbroker's office.
  - b. 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.

## **DETAILING OF SIGNIFICANT POLICIES AND PROCEDURES APPLICABLE TO CLIENT DEALINGS**

The underlying document outlines various policies and procedures Crown Consultants (P) Ltd. (CCPL) has framed with respect to its dealing with clients for capital market transactions to ensure transparency and facilitate understanding on various aspects related to service delivery. Kindly note that the below stated policies and procedures are subject to change from time to time, depending upon our internal risk management framework, market and external environment; and clients can refer the CCPL's website for the updated documents and same will also be intimated to the clients through writing/email.

### **1. Refusal of orders for penny stocks etc :**

- Generally, CCPL alerts clients to desist from trading in any penny stocks in view of the associated risk element while dealing in such stocks. Further, the client is also required to adhere to Exchange / Members' guidelines and due diligence while trading in such stocks. Also SEBI / Exchange from time to time issues directives necessitating additional due diligence for dealing in such stock(s).
- We at our sole discretion, may impose certain restrictions and / or conditions (on case to case basis), subject to rules, regulations, byelaws, circulars, directives and guidelines of SEBI and Exchanges as well as considering the prevalent market and other circumstances and risk policies at a related point in time. These restrictions / conditions include but are not limited to the following.
  - a) restrict wholly or partly for trading, in certain security(ies) or category of security(ies) / contracts viz.
    - i) illiquid stocks / stocks having low liquidity,
    - ii) illiquid options / far month options / long dated options.
    - iii) writing of options,
    - iv) securities listed in BE, IL, BT or EQ series on NSE/BSE
    - v) any other securities / contracts which as per the perception of CCPL are volatile or subject to market manipulation or has concentration risk at client level or at the company level,
  - b) accept or partially accept an order for buy and/or sell. Such acceptance may require execution in a controlled environment (for e.g. from centralised desk instead of from designated dealing area or online platform)
  - c) cancel orders in above securities / contracts received from clients before executive or after partial execution without assigning any reasons thereof,
  - d) require the client to provide appropriate declarations before / after accepting such orders.

### **CCPL shall**

- a) not be responsible for non-execution / delay in execution of such orders and consequential opportunity loss or financial loss to the client.
- b) have the discretion to place such restrictions, notwithstanding the fact that the client has adequate credit balance or margin available in his account and/or the client had previously purchased or sold such securities / contracts through CCPL itself,
- c) have the right to revise the list of such securities / contracts on a periodic basis. Client can obtain the information about the updated list of securities from the Relationship Manager / Dealing Branch Office / Sub Broker.

### **2. Setting up Client's Exposure limit :**

#### **Settlement / Margin obligation:**

The Exchange bye-laws requires a member broker to adhere to various trading and settlement obligations and conditions which include but are not limited to -

- a) upfront margin maintenance requirements with the Exchange / Clearing Corporation prior to taking an exposure in the market,
- b) Cash and collaterals / securities deposit, in prescribed ratio, for margin maintenance,
- c) certain margins to be paid for in cash only, for instance mark-to-market,
- d) settlement obligations in respect of funds and/or securities to be honoured as per the settlement calendar prescribed by the exchange from time to time. prescribed by the exchange from time to time.

In order to enable CCPL to meet the obligation on behalf of the client, CCPL seeks client's cooperation to maintain adequate margin, make timely settlement of obligations, top-up margin by scheduled date, etc.

### **Exposure setting :**

Margin based limit / exposures will be set for clients for transacting in Cash, F & O and currency segment. While computing the available margin, clear credit lying in client's settlement and margin ledger, securities held in client's beneficiary account with Member and securities held in client's beneficiary demat account held in the name of CCPL may be considered.

Margin can be paid in form of cash and approved collateral. Collateral will be valued on daily basis at previous day's closing price and appropriate hair-cut shall be applicable. List of approved collaterals / securities along with applicable haircut, is subject to revision from time to time based on Exchange approved list, market volatility, quality of collateral and internal guidelines; and same can be obtained from the Relationship Manager / Dealing Branch Office CCPL shall have the discretion to allow differential limits / exposures varying from client to client, depending upon client's trade history / experience, if available, his financial capacity and/or creditworthiness and referral of each client.

### **3. Brokerage Policy :**

CCPL may charge a brokerage for all trades facilitated on NSE/BSE of which CCPL is a Member. Brokerage rate may vary from client to client, as per the terms agreed with the client at the time of registration by way of any subsequent written understanding/document between the client and CCPL. The rate of Brokerage shall not exceed the maximum permissible brokerage stipulated by Exchange / SEBI.

The slab rates of brokerage fixed by CCPL may be function of the quality and cost of services provided to the client and the volume and revenue expected from a relationship. It shall be reviewed by CCPL from time to time and may be changed in such manner as CCPL may deem fit provided that the same would not contradict the regulatory provisions.

The brokerage shall however be exclusive of the following.

- GST and Education Cess,
- SEBI / Exchange / Clearing member charges
- Stamp duty
- Statutory charges payable to Exchange / SEBI / Govt. Authorities etc.,
- DP transaction charges / Pledge / Unpledge / Demat / Remat charges
- Account Opening charges
- Bank charges towards the cheques received unpaid.
- Charges towards customized / specialized service with mutual consent.
- Other charges / Fees as may be deemed fit by CCPL, after duly notifying the client which is not in contravention to Acts, Rules regulations Bye-laws of Exchange / SEBI prevailing at present and change from time to time.

### **4. Imposition of Penalty / delayed payment charges :**

#### **A) Delayed payment charges / margin shortage charges :**

As per the Exposure Limit section outlined earlier in the document, client shall maintain adequate margin / settle the obligation / top-up the margin by scheduled date. In case client fails to settle the dues in time, CCPL shall reserve the right to -

- a) levy delayed payment charges, not exceeding 2% per month, on account of delays / failure by the client in meeting the pay-in/margin obligations/mark-to-market obligation on the scheduled date till the date of payment in Cash, F & O and currency segment,
- b) not consider any credit balance in other family or group account of the client while computing delayed payment charges on the debit balance in the running account of a client. The above levy is only a penal measure in case of client default in meeting settlement and margin obligation and should not be construed as funding arrangement by the client; and the client cannot demand continuation of service on a permanent basis citing levy of delayed payment charges.

#### **B) Penalties levied by Exchanges :**

Exchanges / Clearing Corporation / SEBI levy penalties on the member broker for irregularities observed by them during course of its dealing with Members. CCPL shall recover such imposed penalties / levies, by the Exchange / regulators, from the client which arises on account of dealing by such client. The illustrative list of reasons to levy penalty include but are not limited to -

- a) non adherence to client-wise exposure limits in Cash and F & O segment,
- b) client-wise shortfall in F & O margin,
- c) any other reasons which may be specified by the Exchange / Clearing Corporation / SEBI from time to time.



**C) Interest Free Deposits :**

CCPL provides exposure against the upfront margin received in the form of cash/collateral from the client and the client also has the prerogative to demand withdrawal of cash or collaterals at his discretion, subject to surplus margin in place. CCPL shall not pay any interest or other benefit to the client for maintaining cash balances or depositing collateral margins with CCPL except for the corporate benefit received on such collateral securities, if any.

- D) The Client shall pay CCPL fees, account opening/maintenance charges, charges for availing special facility for mobile broking / SMS facility or any other charges for special services/facilities availed by the Client including but not limited to charges related to opening / maintaining and/or carrying out demat related activities through a demat account maintained with CCPL etc. as applicable from time to time. In case of non receipt of any amount due delayed payment will be charged at 2% calculated on daily basis on shortfall amount till the date of actual realisation of money.
- E) All fines/ penalties and charge levied upon the Client due to its acts / deeds or transactions will be recovered by CCPL directly from the Client's account.
- F) The client hereby authorised CCPL to directly debit the delayed payment charges to his account, at the end of month / such other interval as may be decided by CCPL. The Client also agrees that any amount overdue from him/her (including the interest on delayed payment) shall be offset against the dues owed by CCPL to the Client.

**5. The right to sell Client's securities or close Clients' positions, without giving notice to the Client, on account of non payment of dues:**

The stock broker maintains centralised banking and securities handling processes and related banking and depository accounts at designated place. The Client shall ensure timely availability of funds / securities in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. The stock broker shall not be responsible for any claim/loss/damage arising out of non availability / short availability of funds / securities by the client in the client gives orders / trades in the anticipation of the required securities being available subsequently for pay in through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialise in actual availability of securities / funds for pay in for any reason whatsoever including but not limited to any delays / shortages at the exchange or stock broker level / non release of margin by the stock broker etc., The losses which may occur to the client as consequence of such shortages in any manner such as on account of auctions / square off / closing outs etc., shall be solely to the account of the client and the client agrees not to hold the stock broker responsible for the same in any form or manner whatsoever.

In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit / credit for the same only on the realisation of the funds from the said bank instrument etc. at the absolute discretion of the stock broker.

Where the margin / security is made available by way of securities or as permitted by exchange from time to time, the stock broker is empowered to decline its acceptance as margin / security / or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/securities/shares 15minutes before the market closure or when Mark to Market (M-T-M) percentage reaches or crosses, 90% of the Margin available with the broker whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. In case open position (i.e. short/long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the pay-in obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charge levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

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

Segment	Time line	F & O / CD	
Cash Market		Margin	Up front
Margin	As per norms	mark to Market payin	2 hours before payin
payin / fund security	2 hours before payin deadline of NSE/BSE		deadline of NSE/BSE

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

- i) To withhold any payout of funds / securities.
- ii) To withhold / disable the trading / dealing facility to the Client.
- iii) To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which the stock broker may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities which are pending delivery / receipt.
- iv) To liquidate / square off partially or fully the position of sale & or purchase in any one or more securities / contracts in such manner and at such rate which the stock broker may decide in its absolute discretion.
- v) To take any other steps which in the given circumstances, the stock broker may deem fit. The client agrees that the loss(s) if any, on account of any one or more steps as enumerated herein above being taken by the stock broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the stock broker.

The Client should be aware that it's the first and foremost duty of the client to pay margin and funds or securities obligation to CCPL before pay-in-date. The client cannot take shelter that CCPL will liquidate his/her/its stock in margins if the client fails to pay margin and funds or securities obligation to CCPL. So far as possible, CCPL may communicate to client before or after selling of securities or closing the open position, but it is the primary duty of communicate to client before or after selling of securities or closing the open position, but it is the primary duty of the client to know his fund or margin or security obligation and to pay the same before pay-in date. The client has to know dues payable to CCPL from time to time arising out of his/her/its transactions in secondary market. The client understands that he/she/it has to get himself/herself/itself updated about the rules/regulation/bye-laws of the exchange and from various communications made by CCPL/Stock Exchanges/SEBI/Other Regulatory Authorities. The loss, if any, on account of liquidation, shall be debited to the account of the client.

#### **6. Shortages in Obligation arising out of internal netting of trades :**

The client hereby agrees that if he/she/it has short delivered any securities against his/her/its pay-in-obligation which resulted into internal shortage, i.e. buy position of another client of CCPL, self Auction of Internal Short Scrip will be carried out by CCPL.

##### **Internal Shortage in NSE/BSE**

In case for any other reason whatsoever, if CCPL is unable to buy such quantity in NSE/BSE as the case the outstanding security pay-in obligation of the seller client shall be closed out at the rate of closing rate of T + 3 or on the next settlement day plus penalty.

##### **Shortage from Exchange**

In case of short delivery from the exchange, the securities shall be delivered to the purchaser after the deliveries received from the exchange.

#### **7. Conditions under which a Client may not be allowed to take further positions or the Member may close the existing positions of a Client :**

Under various circumstances outlined in the Liquidation Policy section of the document, the Client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligation, outstanding etc. Further, it would be the duty of the client to monitor its position with CCPL from time to time. In case of any delay or failure by the client in meeting any obligation, margin requirements etc. CCPL, at its discretion, may close the open position / contracts without any further intimation to the client in this regard as per the Risk policy.

Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or even no liquidation may take place at all when there are no outstanding orders either on the buy or one the sell side, or if trading is halted in a security due to any action on account of unusual trading activity or stock has hit circuit filters or for any other reason as prescribed on instructed by SEBI.

CCPL is entitled to disable freeze the account or trading facility / any other service if, in the opinion of CCPL, the client has committed a crime, fraud or has acted in contradiction or violate / evade any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if CCPL so apprehends. Any profit / loss arising out of these transactions shall be at the risk of and borne by the client.

#### **8. Temporarily suspending or closing a Client's account at the Client's request :**

- A) The client is required to submit written request for closure of account or for temporary suspension of account clearly stating period or suspension, to the registered office of the Member. Upon receipt of request and after satisfying itself with respect to all information/documentation and settlement of client dues, the Member shall act upon the request within reasonable time but not later than 30 days from the date of request.
- B) CCPL can withhold the payouts of client and suspend client's trading account due to surveillance action of CCPL or judicial or / and regulatory order / action requiring client suspension. CCPL shall maintain such suspension / disablement till such time the client makes a specific request and complies with required formalities in that regard.

#### 9. Policy for inactive clients :

- A) Any client who has not traded in any segment of any exchanges with Crown for last one year may be termed as dormant / inactive client.
- B) The one year may be calculated from beginning of every financial year or such other period as may be decided by Crown.
- C) The trading account of such client will be tagged / red-marked as dormant/inactive client and trading in such code may be deactivated or suspended temporarily.
- D) Once the client account is deactivated the clients funds & securities lying with CCPL will be returned to the client.
- E) Client may send written request to reactive Trading account with all the requisite information / evidence as may be specified by Crown. Returned of clients funds & securities if lying with to be included.

#### 10. Deregistering the Client

The Parties to the Understanding/Document shall be entitled to terminate the understanding/document or any part thereof without giving any reasons to the other Party, after reasons to the other Party, after giving notice in writing of not less than one month to other Party. For that purpose, the client will be liable First to settle his/her/its account in full. In case of any shortfall or any dues or payment remaining after adjusting the margin account, the client will be liable to make payment of the same. In case of surplus arising after getting off of the account, client shall be entitled to receipt of the same.

In the following circumstances, including but not limited to the following, CCPL may at its discretion shall be entitled to suspend or terminate the Understanding/Document without prior notice :

- 1) Upon the death, winding up, bankruptcy, liquidation or legal incapacitation of the Client or is Designated as a defaulter by any credit rating agency or any action or proceedings have been initiated by the relevant regulator /Authority including SEBI.
- 2) The client fails to maintain the Bank Account and/or the Demat Account (or any replacement thereof)
- 3) The Client has misrepresented facts at the time of entering into this understanding/document or at the time of giving instruction or otherwise.
- 4) The Client fails to fulfill his/its payment obligations under this understanding/document or otherwise due to CCPL.
- 5) The Client has violated the Applicable law, more particularly the Securities Law and Bylaws, Rules and Regulations of the respective Stock Exchanges on which the Client trades.
- 6) If the client migrates to a jurisdiction which prohibits trading in Indian securities or otherwise subjects CCPL or any of its employees to any licensing or registration requirements.
- 7) If there is any commencement of legal process against the Client under any law in force:
- 8) If the Client being a partnership firm, has any steps taken by the Client and / or its partners for dissolution of the partnership;
- 9) If the Client has taken or suffered to be taken any action for its reorganisation, liquidation or dissolution;
- 10) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the security.
- 11) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- 12) If the Client suffers any adverse material change in his / her / its financial position or defaults in any other understanding/document with the Stock Broker.
- 13) If the Client is in breach of any term, condition or covenant of this understanding/document;
- 14) If any covenant or warranty of Client is incorrect or untrue in any material respect;
- 15) Action taken by Exchanges / Regulators or being part of list of debarred entities published by SEBI.
- 16) Where the client indulge in any irregular activities not limited to synchronized trading, price manipulation, etc. resulting in violation of rules, regulations of the exchange and any other such activity.
- 17) Based on information found in sites of CIBIL, Watch out investors, World check or client having suspicious back ground, link

with suspicious organization etc.

- 18) Irregular trading pattern from surveillance / AML perspective,
- 19) Where the client is categorized as ineligible due to being non-traceable, disputes, possible default by client and any other circumstances leading to raising non-confidence in client.

Upon termination of the understanding/document all other understanding/document, annexure and writings supplementing the understanding/document entered into by a between the Parties herein shall stand terminated.

Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into and prior to the termination of the shall continue to subsist and vest in/be binding on the respective Parties or his/her/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

**Client Acceptance of Policies and Procedures stated hereinabove :**

I / We have fully understood the same and do hereby sign the same. These Policies and Procedures may be amended/changed unilaterally by broker. Provided the changes made in policies & procedures have to be communicated by the TM in writing/E-mail or on the website of CCPL. These Policies and Procedures shall always be read along with the understanding/document and shall compulsorily referred to while deciding any dispute / difference or claim between me / us. And stock broker before any court of law/judicial/adjudicating authority including arbitrator/mediator etc.

Signature  (16/48) \_\_\_\_\_

Date 

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

To  
**CROWN CONSULTANTS (P) LTD.**  
G6/7, Amit Indl. Estate, Ground Floor,  
Near Gandhi Hospital, Dr.S.S.Rao Raod,  
Parel (East), Mumbai - 400 012.

Dear Sir,

**Sub: Mutual Fund Service System (MFSS) facility**

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

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

I/We are willing to abide by the terms and conditions are mentioned in the circular dated 24 November, 2009 and as may be specified by the Exchange from time to time in this regard.


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

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

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

Thanking you,

Yours sincerely,

Signature  (17/48) \_\_\_\_\_

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

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

**DETAILS OF TERMS & CONDITIONS  
FOR THE INVESTOR / CLIENT FOR USING NEW MFSS FACILITY**

**VOLUNTARY**

**1. Pre-requisites for becoming investor / Client for the New MFSS facility**

- 1.1 The client who is desirous of investing in units of mutual fund schemes through the New MFSS.
- 1.2 The client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant of the New MFSS.
- 1.3 The client has satisfied itself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instruction through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transactions through the participant.
- 1.4 The client has approached to the Participant with the application for availing the New MFSS facility.
- 1.5 The client has submitted relevant KYC (Know Your Client) details to the Participants.

**2. Terms and conditions**

- 2.1 The client shall be bound by circulars issued by NSEUK, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
- 2.2 The client shall notify the Participant in writing if there is any change in the information in the 'Client Registration Form' provided by the client to the Participant at the time registering as a client for participating in the New MFSS or at any time thereafter.
- 2.3 The client shall submit to the Participant a completed application form in the prescribed format for the purpose of placing a subscription order with the Participant.
- 2.4 The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- 2.5 The client shall be wholly responsible for all his investment decisions and instruction.
- 2.6 The client shall ensure continuous compliance with the requirements of the NSEIL, SEBI and AMFI.
- 2.7 The client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the client's account, transactions and to the services that participant renders to the client.
- 2.8 The client will furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order to decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- 2.9 In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the investor Protection Fund or from any fund of NSEIL or NSCCL.
- 2.10 In case of any dispute between the Participants and the investors arising out of the MFSS facility, NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

## LETTER OF AUTHORISATION

**VOLUNTARY**

To  
**CROWN CONSULTANTS (P) LTD.**  
G6/7, Amit Indl. Estate, Ground Floor,  
Near Gandhi Hospital, Dr.S.S.Rao Raod,  
Parel (East), Mumbai - 400 012.


Dear Sir,

This is with reference to my/our trading account with you at NSE/BSE Cash, F & O, Currency Derivatives Segment and MFSS. I/We wish to place following standing instructions for operations of my/our account :

1. I/We understand that you require written instructions for receiving/modifying or cancelling orders However, since it is not practical to give written instruction for every order, I/we hereby authorise you to kindly accept my/our verbal instructions/order over phones from my/our authorised representative and execute the same.
2. Since you are issuing contract notes bearing order numbers and trade numbers on a daily basis, Please do not issue the order/trade confirmation slips as generated from the Trading Terminal, unless otherwise requested by me/us in writing.
3. I/We hereby authorise you to effect necessary inter-settlement transfers. However I/we understand this will be effected only in case of receipt from the opposite party. In case, if the same is not received, I/we will be liable to pay auction difference arising from non-receipt of shares. Also I/we hereby authorise to debit my Client Account necessary inter-settlement charges.
4. I/We hereby agree to pay all necessary Margins & Pay-in debit as per the deadline issued by the Exchange from time to time. All fines/penalties and charges levied upon you due to my acts/deeds or transactions may be recovered by you from my/our account. I/We hereby authorise you to pass necessary Journal Entry as Inter-Segment Transfer in my/our Book of Accounts debiting the amount from any Segment in which there is credit to any other Segment in which there is a debit, in order to avoid operational delays and cost towards transfer of funds.
5. Communication : In case of any document/ledger/account position/transaction reports etc. are required by me/us, we shall obtain the same from your offices or get it collected through our representative.
6. Other Instructions :
  - i) I understand that errors might be committed by dealers/computer operators resulting in punching of wrong client codes while making order entry. Exchange rules provide for modification for such wrongly entered client codes to correct client codes.
  - ii) My/our funds lying with you may be used for the purpose of depositing the same with the exchange for the purpose of margin which may be submitted to the exchange/clearing corporation for margin or used as collateral for meeting margin/additional base capital requirement of exchange/clearing corporation.
  - iii) I/We authorise you to use securities deposited by us with you to further use the same for meeting margin/additional capital requirements of the Exchange by pledging or depositing the same with exchange/clearing house as permitted from time to time.
  - iv) I/We agree that you are authorised to charge interest for delayed payment/over due amount upto 2% per month as decided mutually between us.
  - v) The brokerage rate etc. mentioned in this registration form is chargeable for trade execution and settlement services and does not include charges for any additional or special services availed by me from the broker which will be decided by mutual consent.
  - vi) I/We undertake to execute our own sale purchase transactions in securities through you and shall not act as unregistered intermediary, I/we shall intimate to you changes in our address details, bank details, demat account details etc. as soon as possible.
7. I/We authorise you to liquidate/close out all or any of my/our positions for non-payment of margins or other amount outstanding debts etc. I/We agree to bear any and all losses and financial charges on account of such liquidation/close out.
8. Under NSE guidelines, I/we am/are entitled to receive a statement of accounts for funds and securities.
9. I/We agree that you may refuse to execute any particular transaction without assigning any reason thereof.
10. I/We agree not to hold you liable or responsible for delay or default in performance of your obligations due to contingencies beyond control such as fire, flood, earthquake, riots, war, strikes failure of systems, failure of internet links, Government/Regulatory actions or any such other contingencies which may be beyond your control.

11. I/We hereby confirm that statement of Account will be verified from my/our side within thirty days of the statement date. In case, if there is any discrepancy, the same will be brought to your notice in writing within this deadline of thirty days.
12. I/We undertake to take Trade Confirmation and necessary account information from you on daily basis either by telephone, fax or e-mail. If there is any discrepancy, the same will be brought to your notice immediately in written/email.
13. I/We hereby confirm that all Transfer of Shares/Funds will be made only from the list of Accounts belonging to me/us furnished at the time of Account Opening. I/We will not transfer the securities / Funds from any other account apart from the ones furnished by me in written to you. In case, the same is done, I/we authorise you to reverse the relevant transactions and transfer Funds / Securities to the account from which it was transferred. I/We authorise you to transfer the shares purchased by me/us to the Demat Account details furnished in this A/c opening form only.
14. I/We hereby authorise you to issue Contracts electronically to the E-mail Address specified in this form.
15. Trading of all Exchanges is in Electronic Mode based on VSAT, Leased line, ISON, Modem and VPN, Combination of technologies and computer system to place and route orders, I/we understand that there exists a possibility of communication failure or system problems or slow or delayed response of system or trading halt or any such other problems/glitch, whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing or not processing buy or sell orders either in part or in full. I/we agree that I/we shall be fully liable and responsible for any such problems/fault.
16. I/We have a Trading as well as Depository relationship with CCPL. Kindly debit the charges relevant with depository services from my/our trading account or monthly basis. I/We also agree to maintain the adequate balance in my trading account / pay adequate advance fee for the said reasons.
17. Implementation of Corporate Benefits/actions : I/we accept responsibility for knowing the status of all corporate benefits like rights and bonus issues, dividends and stock splits of shares I/we intend to trade in or held in my/our DP account and, the eligibility of the shares to meet share pay in obligations to exchanges whether received by way of purchases, right bonuses, stock split, off market transfer or otherwise. You will pass to me/us whatever corporate benefits are actually received from the companies directly like dividends and bonus shares. For other corporate benefits/actions like Rights issues/Open offers etc. where shareholders are required to apply to the company, it will be my/our responsibility to track announcements of such corporate benefits and then apply to you/company if I/we so desire. You shall not be liable for any loss/claim whatsoever in case such application is rejected by the Register / Company / Manager to the issue for any reasons.
18. Acceptance of Technical failures/delays : I/We am/are aware that the electronic trading systems either at the Exchange or in your offices are vulnerable to temporary delays, disruptions, breakdowns or failures. In the event of non-execution of trade orders or trade cancellation due to the happening of such events or vulnerabilities due to failure/disruption/breakdown of system or link, you shall be authorized to cancel relative instruction(s) / contracts(s) with us and shall not be liable to execute my/our desired transaction. In such event, I/we shall not hold you responsible for any losses incurred/that may be incurred by me/us due to such eventualities which are beyond your control.
19. I/we understand in the event of death or insolvency of the client or his otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, MEMBER may close out the transaction of the client and the client or his legal representative shall be liable for any losses, costs and be entitled to any surplus which may result there from.
20. I/We are aware of the provisions of Bye-laws, Rules and regulations of the Exchange relating to resolution of disputes/differences through the mechanism of arbitration provided by the Exchange and agree to abide by the said provisions.
21. I/We understand All trades, transaction and contract are subjects to the Bye-Laws, Rules and Regulations of the Exchange.
22. The client may terminate letter of authorisation document at any time to member provided however that all the obligation of the client prior to termination of voluntary form shall continue to subsist.

Thanking You,  
Yours Faithfully,

Signature  (18/48) \_\_\_\_\_

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

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



In compliance with the provisions of Prevention of Money Laundering Act, 2002, and subsequent circulars issued by SEBI thereto, we hereby obliged to consider it as a part of client registration document :

**PREVENTION OF MONEY LAUNDERING**

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436(E) dated July 1, 2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number ISD/CIR/RR/AML/2/06 dated March 23, 2006 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Sec. 12 of the Act inter-alia, maintenance and preservation of records and reporting of information relation to cash and suspicious transactions to financial Intelligence Unit-India (FIUIND), NEW Delhi.

The purpose of this act is to prevent the financing of terrorism and to prevent laundering of money i.e. to legalize or officialize or canalize the money generated from illegal activities like drug trafficking, organized crimes, hawala rackets and other serious crimes.

This act is a part of the Global measures being taken by all the countries under the initiatives of UN agencies. It is applicable to all SEBI Registered brokers/sub-brokers and other financial institution who are dealing in any kind of financial assets.

It is an obligation of the entities to whom this Act is applicable, to report certain kind of transactions routed through them to FINANCIAL INTELLIGENCE UNIT, a department specially set up to administer this Act under the Ministry of Finance.

The transactions which are supposed to be reported are cash transactions above rupees ten lakhs or series of cash transactions below ten lakhs but aggregating to above ten lakhs in a month or its equivalent in any foreign currency and the transactions which may not be in cash but suspicious in nature.

Any such above types of transaction, though not executed but attempted and failed are also required to be reported.

This is the highlights of the requirements under the Act. Subbrokers / Authorised Persons / Remissors are advised to go through the SEBI's master circular at [http://www.sebi.gov.in/circulars/2010/mastercircular no. ISD/AML/CIR-1/2010](http://www.sebi.gov.in/circulars/2010/mastercircular%20no.%20ISD/AML/CIR-1/2010) dated February 12, 2010. For detailed information and understanding and also to visit the website of FIU-IND at <http://fiuindia.gov.in>

The constituent should ensure that the amount invested in the securities is through legitimate sources only and does not involve and is not designated for the purpose of contravention or evasion of the provision of the Income Tax Act, Prevention of Money Laundering act, Prevention of corruption Act and/or any other law for the time being in force enacted by Govt. of India from time to time or any rules and regulations, notifications or directions issued there under.


To ensure appropriate identification of the constituents under its KYC policy and with view to monitor the transactions for the prevention of anti money laundering, the company has reserve the right to seek information, record constituents telephonic call and/or obtained or retained documentation for establishing the identity of the constituents, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

The constituents or their attorney, if any, shall produce independent source documents, such as photographs, certified copies of ration card/passport/pan card/driving license or such other documents or produce such information as may be required from time to time for verification of the identity, residential address, financial information of the constituents by the company.

If the constituents refuses/fails to produce the required documents and information within the period specified in the communication sent by company to the constituents, then the company after applying due diligence measures believes that the transaction is suspicious in nature within the purview of the Act and SEBI circulars issued from time to time or on account of deficiencies in the documentation shall have absolute discretion to report suspicious transaction to FIU-IND or to reject the application or to freeze the account of constituent. Thus the KYC documentation shall comply by all the constituents in its true spirit and word.

The company, its Directors, its Employees and agents shall not be liable in any manner for any claim arising whatsoever on account of freezing of account or on rejection of application etc. due to noncompliance of the provisions of the Act, SEBI circulars and KYC policy and or where company believes that transaction is suspicious in nature within the purview of the Act or SEBI circulars and reporting the same to FIU-IND.

This document form an integral part of the client registration form as a addendum or key information memorandum and will be subject to amendments from time to time.

Signature  (19/48) \_\_\_\_\_

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

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

**AUTHORITY TO REMIT FUNDS PAYOUT ELECTRONICALLY INTO  
CLIENTS BANK ACCOUNT**

**VOLUNTARY**

Date : .....

To  
**CROWN CONSULTANTS (P) LTD.**  
G6/7, Amit Indl. Estate, Ground Floor,  
Near Gandhi Hospital, Dr.S.S.Rao Raod,  
Parel (East), Mumbai - 400 012.

**Sub.: Authority to remit funds pay out electronically into my bank account.**

Dear Sir,

This is with reference to the Member Client understanding/document entered into with you for the purpose of dealing in securities on the NSE/BSE through you. Under Client Code \_\_\_\_\_. In this connection, I/We request you to update my/our details in your records as given below.

I/We furnish below the details of my/our account held with \_\_\_\_\_ (name of bank) to enable transfer of funds payable to me/us against sale of securities.

Bank : \_\_\_\_\_

Branch : \_\_\_\_\_

Account No. : \_\_\_\_\_

Type of account : Savings / Current / NRI Others (Specify) \_\_\_\_\_

Account in the name of : \_\_\_\_\_

Name of Joint Account holder(s) if any : \_\_\_\_\_

IFSC Code : \_\_\_\_\_


(Submit Cancelled copy of cheque reflecting client name, account number and IFSC code OR Letter from Bank indicating client name, account number and IFSC code)

I/We hereby declare that the particulars mentioned above are correct and complete and I/we request Crown Consultants (P) Ltd. (The Member) to transfer funds against payments due to me/us into the above mentioned Bank Account until further information from me/us by giving 30 days notice. I/We agree that the above facility is being provided to me/us at the instance of the Member and it can be discontinued / withdrawn by the Member at it's discretion at any point of time.

The above instruction are subject to the following.

1. The transfer of funds to my bank account will continue to be governed by the terms and conditions as per contained in client understanding/document and other KYC documents executed by me/us.
2. I/We shall review upon first receipt, all transfers of funds made into the aforesaid bank account. In case funds payment is not received in my/our account on the due date then I/we will lodge a formal written complaint with the Member within two days. In all other cases, it may be assumed that the funds have been received by me/us. In all cases, the Member will reserve the right to determine the validity of any complaint regarding transfer of funds to the said bank account.
3. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information or problem with banking system. I/We would not hold the Member responsible.

I/We understand that the electronic payout shall be provided at the Member's discretion and shall depend upon my/our bank providing such electronic facility. The Member will make best efforts to provide the service and I/we would not hold the Member liable for non-availability of the service in any manner whatsoever.

Signature  (20/48) \_\_\_\_\_

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

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

## AUTHORITIES TO RETAIN SECURITIES AS RUNNING ACCOUNT

**VOLUNTARY**

Date : .....

To

**CROWN CONSULTANTS (P) LTD.**

G6/7, Amit Indl. Estate, Ground Floor,  
Near Gandhi Hospital, Dr.S.S.Rao Raod,  
Parel (East), Mumbai - 400 012.

**Sub.: Authority to retain securities towards Margin in Cash segment, F & O segment,  
currency Derivative & any other segment**

With reference to above, I/We am/are dealing through you vide above said code on NSE/BSE. Due to exigency and paucity of time it will be inconvenient for me/us follow the regular process of execution and submission of therequired delivery instructions often and again within stipulated time to meet the pay-in, margin obligation etc.

In view of above, I/we hereby unconditionally authorise you to hold the securities received against my/our various payout with you, for security, margin, future pay-in. Unless I/we hereby authorise you to deliver the securities so held for my/our subsequent pay-in obligations.

I/We further authorise you to pledge the securities in favour of clearing corporation, stock exchange(s) Clearing Member for margin as permitted from time to time and/or pay in purposes, if so required.

Kindly further note that through I/we am/are entitled to revoke this authorisation at any time.


You are also requested to debit my/our account for all necessary charges in respect of transfer of securities from you account to meet my/our pay-in obligations or transferring such securities into my/our demat account as per my/our request.

I/We hereby undertake to indemnify any claims, damage or any loss arising out of this request of mine/us and accepted in good faith by your organisation.

Unless I/we withdraw this authorisation, I/we hereby authorise you to continue to maintain my/our account for the securities on running account basis for period of one year or such longer period as the governing authority may specify, from the date of this authorisation.

Thanking You,

Yours Faithfully,

Signature  (21/48) \_\_\_\_\_

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

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

## PART - II

# OTHER MANDATORY DOCUMENTS



**CROWN**

*Your Goals....Our Solutions*

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

**CLIENT INFORMATION**

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

**MARGINS**

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

**TRANSACTIONS AND SETTLEMENTS**

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, 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, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

#### **ADDITIONAL RIGHTS AND OBLIGATIONS**

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make 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, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

Signature  (22/48)

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**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

## 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.

#### **1.2.1 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:**

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

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

**2.1 Effect of “Leverage” or “Gearing”:**

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are ‘leveraged’ or ‘geared’. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one’s circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

- A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.
- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

**2.2 Currency specific risks:**

- 1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
- 2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
- 3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs

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

### **2.3 Risk of Option holders:**

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

### **2.4 Risks of Option Writers:**

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

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

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

## **4. GENERAL**

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

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

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges BSE - [www.bseindia.com](http://www.bseindia.com) / NSE - [www.nseindia.co.in/](http://www.nseindia.co.in/) MCX-SX-[www.mcx-sx.com](http://www.mcx-sx.com) and SEBI website [www.sebi.gov.in](http://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 sub-broker. 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 pledgedshares, 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.

Signature  (24/48) \_\_\_\_\_

## PART - III

# NON-MANDATORY / VOLUNTARY DOCUMENTS



**CROWN**

*Your Goals....Our Solutions*



VOLUNTARY

**CROWN CONSULTANTS (P) LTD.**

G6/7, Amit Indl. Estate, Ground Floor, Near Gandhi Hospital,  
Dr. S.S.Rao Road, Parel (East) Mumbai - 400 012

Date

**Sub : Confirmation of Documents**

I/We understand that only the documents mentioned below are mandatory and any additional clauses or documentation that are being executed along with the Client Registration Form are voluntary and at the discretion of the Trading Member and me/us.


1. Client Registration Form (KYC)
2. Rights and Obligations of Stock Brokers, Sub-Brokers and Clients (*As prescribed by SEBI and Stock Exchanges*)
3. Internet & Wireless Technology based Trading Facility Provided by Stock Brokers to Client
4. Risk Disclosure Document for Capital Market and Derivatives Segments
5. Guidance Note - Do's and Don'ts for Trading on the exchange(s) for Investors before you begin to trade
6. Detailing of Significant Policies and Procedures applicable to client dealings
7. Tariff Sheet

I/We also understand that in order to avail special facility, I/ we may have to execute further documents relating to such special facility provided by the Member which are voluntary and I/we need not execute such documents if I/we do not wish to avail the said facility.

I confirm having received the copies of various policies/complete set of KYC along with client registration documents letters and all other documents submitted at the time of the account opening with you.

Yours Faithfully

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

Signature  (25/48) \_\_\_\_\_

VOLUNTARY

**CROWN CONSULTANTS (P) LTD.**

G6/7, Amit Indl. Estate, Ground Floor, Near Gandhi Hospital,  
Dr. S.S.Rao Road, Parel (East) Mumbai - 400 012


Dear Sir,

**Sub: Opening of Trading account with your company**

With reference to the above I hereby confirm that I accept the levy of Rs. \_\_\_\_\_/- as account opening charges for my Trading account to be opened with your company. I understand that this amount includes the cost of courier charges and other administrative expenses associated with the opening of my accounts. This amount may be debited to my trading account.

Thanking you,

Yours sincerely,

Signature  (26/48) \_\_\_\_\_

**VOLUNTARY**

**CROWN CONSULTANTS (P) LTD.**

G6/7, Amit Indl. Estate, Ground Floor, Near Gandhi Hospital,  
Dr. S.S.Rao Road, Parel (East) Mumbai - 400 012

Date

Dear Sir,


**Sub.: Running Account Authorization - Client CODE**

I/We hereby authorize you to maintain a Running Account with the following objectives:

- (i) Maintenance of funds / securities, which means that the actual settlement of funds and securities shall be done atleast once in a calendar  
 QUARTERLY                       MONTHLY
- (ii) In case I/we have any outstanding obligations on the settlement date, you have the right to retain the requisite securities / funds towards such obligations and shall also have the right to retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the Stock Exchanges.
- (iii) I/we reserve the right to revoke this authorization at any time.
- (iv) In spite of this authorization, I/we shall retain the right to withdraw funds / securities at any time after submitting a formal request for the same.
- (v) I/we also undertake to bring any dispute arising from the statement of account or settlement so made within 7 working days from the date of receipt of funds/securities or statement, as the case may be.
- (vi) This authorization must be dated.
- (vii) You may retain the amount if the balance less then 10 thousand "Provided if the my account is active during the period of settlement."

Yours sincerely,

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

Signature  (27/48) \_\_\_\_\_

**VOLUNTARY**

**Declaration**

I/We give my/our consent to receive customized Alert messages from Crown Consultants (P) Ltd. and/ or Group Companies (hereinafter Crown) through telecalling or through short messaging service ("SMS") over my mobile or land line phone as chosen by me/us and provided to with respect to events/transactions/ information relating to my/our Account and other products and services or promotional offers being provided and introduced by Crown from time to time.

I/We further agree that:

The Alert facility may be discontinued by Crown at any time by providing a prior intimation on a best-effort basis through any legally recognized medium of communication.

The Alerts would be generated by Crown and will be sent to me/us on the mobile/landline number(s) provided by me/us and the delivery of the alert would be entirely based on the service availability of the service provider and connectivity. I/We agree and understand that the Alerts being dependent on various issues including connectivity and Crown cannot assure final and timely delivery of the Alerts. The Alerts may not be received by me/us or sent by Crown if the account operations have been suspended for any reasons whatsoever.

I/We am/are solely responsible for intimating in writing to Crown any change in my/our mobile/Landline number(s) and Crown will not be liable for sending Alerts or other information over my/our mobile/landline number(s) recorded with Crown.


Crown will not be liable for:

- (a) for any duplicate or erroneous messages/instructions given by use of the same
- (b) loss of any information/instructions /Alerts in transmission

I/We shall indemnify and keep Crown free and harmless from and against all liabilities, losses, claims and damages arising from negligence, fraud, collusion or violation of the terms herein above on my/our part and/ or a third party provided there is no gross negligence on the part of Crown.

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

Date

Signature  (28/48) \_\_\_\_\_

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



G6/7, Amit Indl. Estate, Ground Floor, Near Gandhi Hospital, Dr. S.S.Rao Road, Parel (East) Mumbai - 400 012  
Phone:+91-22- 4069 0701 Fax:+91-22- 4069 0777

## CROWN TRADING FACILITY (MTF) ACTIVATION - INDIVIDUAL

DATE: - \_\_\_\_\_

TRADING CODE:- \_\_\_\_\_

### TERMS AND CONDITIONS FOR AVAILING MARGIN TRADING FACILITY (MTF)

The terms and conditions prescribed hereunder form part of account opening form, shall be read in conjunction with the rights and obligations as prescribed under SEBI circular no. CIR/ MIRSD/ 16/ 2011 dated August 22, 2011 and the Rules, Regulations, Bye laws, Rights and Obligation, Guidelines, circulars issued by SEBI and Exchanges from time to time.

#### A) The Client undertakes, authorizes, confirms and agrees to/that:

1. Avail MTF in accordance with the terms and conditions of MTF offered by Crown Consultants (P) Ltd.(CCPL).
2. CCPL at all times shall have the liberty to exercise its right in its sole discretion to determine the extent to which the MTF to be made to the Client.
3. Pay interest at the rate agreed under the voluntary terms and conditions at the time of opening the client's account and/or modified and communicated from time to time by CCPL.
4. If the transaction is entered under MTF, there will not be any further confirmation that it is margin trading transaction other than contract note.
5. Transaction/s to be considered for exposure to MTF shall be entered in the trading system using the MTF option or informed to CCPL in writing or in any other irrefutable mode of communication not later than end of T day, else the same shall be considered under normal trading facility.
6. CCPL shall not be bound to grant MTF to the Client (which decision shall be at the sole and exclusive discretion of CCPL) and CCPL shall not be required to provide any reasons thereof nor shall CCPL be liable for any damages (whether direct or consequential or whether financial or non-financial) to the Client by reason of CCPL refusal to grant MTF to the Client.
7. Client includes Individual, Company, Partnership firm, Trust, Hindu Undivided Family, Association of Person and Body of Individuals etc.
8. The dues, wherever mentioned herein, includes but not limited to outstanding balances, interest, statutory taxes, duties, charges, penalties etc. in respect of MTF availed by the Client.
9. The terms / conditions / obligations of the Client as amended from time to time shall be irrevocable and shall not be revoked by the death/dissolution/ winding up of the Client.
10. Accept all types of communications including order / trade confirmation, revision in margin, margin calls / decision to liquidate the position / security / collateral, Margin statements, margin policies on haircuts / VAR margin, Risk management policies, Rights & obligations, allowable exposure, specific stock exposure etc. through the email id / mobile number of the Client registered with CCPL.
11. The MTF shall be provided only in respect of Shares permitted by the SEBI/ Exchanges / CCPL from time to time.
12. CCPL to retain and / or pledge the securities and its corporate benefits, if any, till the amount due in respect of the said transaction including the dues to CCPL is paid in full by the Client.
13. CCPL to hold and / or to appropriate the credit lying in the Client account and/or any unutilized/ unpledged shares/ securities lying in demat account along with all other demat accounts / Mutual Funds / IPO account of the Client towards the repayment of the outstanding dues thereof under MTF.
14. Treat the securities available in demat account/s linked to the trading account of the Client as margin towards the MTF availed.
15. Ensure required margin is maintained for MTF at all point of time as specified by SEBI / Exchanges / CCPL from time to time.
16. CCPL at its sole and absolute discretion may increase / revise the limit of initial margin and maintenance margin, minimum transaction amount from time to time, subject to SEBI / Exchange / CCPL requirements in this respect. The Client shall abide by such revision, and where there is an upward revision of such margin amount, the client agrees to make up the revised margin

immediately, not later than 5 working days from the day of margin call, failing which CCPL may exercise its discretion / right to liquidate the security / collateral and / or close out the position immediately.

17. Make good deficient margin / margin call by placing the further margin immediately, failing which CCPL may exercise its discretion / right to liquidate the security / collateral and / or close out the position immediately depending upon the market conditions and / or the volatility.
18. Notwithstanding anything contained in clauses 17 and 18 above, CCPL may, in its sole discretion, determine the time of sell / securities to be liquidated, and / or which contract(s) is / are to be closed.
19. All losses and financial charges on account of such liquidation/closing out shall be charged to and borne by the client.
20. CCPL may immediately without any notice liquidate the security / collateral and or close out the position in the happening of the following events:
  - if any instrument for payment of Margin Money / Monies is / are dishonoured;
  - if the Client violates/breach any provision of this Arrangement or provides any incorrect or misleading information;
  - if the Client has voluntarily or compulsorily become the subject of any proceedings under any bankruptcy or insolvency law or winding up or liquidation proceedings or has a receiver or liquidator appointed in respect of itself or its assets or makes an application or refers itself to any authority for being declared as a "sick company", relief undertaking, bankrupt or insolvent or seeking financial reconstruction or any other like scheme (by whatever name called) or is dissolved or there is a change in the constitution whether on account of the admission of a new partner or the retirement, death or insolvency of any partner or otherwise;
  - the death, lunacy or other disability of the Client;
  - if there is reasonable apprehension that the Client is unable to pay its outstanding dues or has admitted its inability to pay its dues, as they become payable;
  - if the Client is convicted under any criminal law in force;
  - if any Asset or any Security is seized or made subject to any distress, execution, attachment, injunction or other process order or proceeding or is detained or taken into custody for any reason;
  - default under any other arrangement or facility with any Stock Broker is made by the Client.
  - there exists any other circumstance, which in the sole opinion of CCPL, is prejudicial to the interests of CCPL;
  - Order passed by any regulatory, courts, statutory bodies etc.
21. The MTF facility may be withdrawn by CCPL, in the event of client committing any breach of any terms or conditions herein or at any time after due intimation to the client allowing such time to liquidate the MTF position as agreed herein, without assigning any reason.
22. In the event of termination of this arrangement, the client shall forthwith settle the dues of CCPL. CCPL shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes CCPL to make such adjustment. After such adjustment, if any further amount is due from the client to CCPL, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to CCPL, CCPL shall release the balance amount to the client.
23. CCPL may release/ unpledged / transfer the securities utilized for MTF within 5 working days from the date of clearing the dues to CCPL.
24. Lodge protest or disagreement with any transaction done under MTF within 24 hours from the date of receipt of such document / statements / contract notes/ any other communications.
25. Close / terminate the MTF at any time after clearing the dues of CCPL.
26. Any dispute arising between the client and CCPL in connection with the MTF, shall be referred to the investor grievance redressal mechanism, arbitration mechanism of the respective stock exchange"
27. In case the securities to be deposited and / or purchased for availing MTF belong to the promoter / promoter group, the client shall intimate CCPL before such deposit and or purchase, else the same shall be treated as non-promoter holding."
28. The terms and conditions and amendments made by CCPL from time to time is available on company's website [compliance@crownsec.com](mailto:compliance@crownsec.com)


**B) CCPL undertakes, authorizes, confirms and agrees to/that:**

1. Client shall be free to take the delivery of the securities at any time by repaying the amounts that was paid by CCPL to the Exchange towards securities after paying all dues.

2. Client has a right to change the securities collateral offered for MTF at any time so long as the securities so offered are approved for margin trading facility.
3. CCPL shall monitor and review on a continuous basis the client's positions with regard to MTF.
4. Additional exposure over debit balance (arising out of trade executed under normal trading facility), beyond fifth trading day reckoned from pay-in date, may be granted under MTF to the extent the Client is eligible and subject to availability of required margin. In such event, CCPL in its discretion may identify the eligible/excess securities available with the client and mark as collateral towards MTF. All credit arising out of sale transaction under MTF shall be first adjusted towards the debit under normal trading facility, if any and subject to adequate margin being maintained for the outstanding MTF debit.
5. CCPL when makes a 'margin call' to the client, shall clearly indicate the additional / deficient margin to be made good.
6. Whenever securities are liquidated by CCPL, the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.
7. The daily margin statements sent by CCPL to the client shall identify the margin/collateral for Margin Trading separately.
8. Margin Trading Account where there is no transaction for 90 days and no dues outstanding from the client shall be settled immediately.
9. The stocks deposited as collateral with CCPL for availing MTF (Collaterals) and the stocks purchased under the MTF (Funded stocks) shall be identifiable separately and there shall not be any commingling for the purpose of computing funding amount.
10. CCPL shall close/terminate the account of the client forthwith upon receipt of request from the client subject to the condition that the client has paid the dues under MTF.
11. The margin trading arrangement between CCPL and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the MTF provided to CCPL or CCPL surrenders the facility or CCPL ceases to be a member of the stock exchange.
12. The Client may opt to terminate the MTF in the event of CCPL committing any breach of any terms or conditions herein or for any other reason.
13. If the client opts to terminate the MTF, CCPL shall return to the client all the collaterals provided and funded securities retained forthwith, but not later than 5 working days from the date of termination, on payment of all the dues by the client.
14. CCPL shall not use the funds of one client to provide MTF to another client, even if the same is authorized by the first client.
15. Investor Protection Fund (IPF) shall not be available for transactions done on the Stock Exchange, through MTF, in case of any losses suffered in connection with the MTF availed by the client.

**Signature(s) of Account Holder(s)**

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

Signature  (29/48) \_\_\_\_\_



G6/7, Amit Indl. Estate, Ground Floor, Near Gandhi Hospital, Dr. S.S.Rao Road, Parel (East) Mumbai - 400 012  
Phone:+91-22- 4069 0701 Fax:+91-22- 4069 0777

## **RIGHTS & OBLIGATIONS OF STOCK BROKERS & CLIENTS FOR MARGIN TRADING FACILITY (MTF)**

### **CLIENT RIGHTS**

1. Client shall receive all communications in a mode mutually agreed between the broker and the client regarding confirmation of orders/trades, margin calls, decision to liquidate the position / security.
2. Client shall be free to take the delivery of the securities at any time by repaying the amounts that was paid by the Stock Broker to the Exchange towards securities after paying all dues.
3. Client has a right to change the securities collateral offered for Margin Trading Facility at any time so long as the securities so offered are approved for margin trading facility.
4. Client may close / terminate the Margin Trading Account at any time after paying the dues.

### **CLIENT OBLIGATIONS**

1. Client shall, in writing in his own hand or in any irrefutable electronic method, agree to avail of Margin Trading Facility in accordance with the terms and conditions of Margin Trading Facility offered by the broker, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position.
2. Client shall inform the broker of its intent to shift the identified transaction under Margin Trading Facility within the time lines specified by the broker failing which the transaction will be treated under the normal trading facility
3. Client shall place the margin amounts as the Stock Broker may specify to the client from time to time.
4. On receipt of 'margin call', the client shall make good such deficiency in the amount of margin placed with the Stock Broker within such time as the Stock Broker may specify.
5. By agreeing to avail Margin Trading Facility with the broker, client is deemed to have authorized the broker to retain and/or pledge the securities provided as collateral or purchased under the Margin Trading Facility till the amount due in respect of the said transaction including the dues to the broker is paid in full by the client.
6. Client shall lodge protest or disagreement with any transaction done under the margin trading facility within the timelines as may be agreed between the client and broker.

### **STOCK BROKER RIGHTS**

1. Stock Broker and client may agree between themselves the terms and condition including commercial terms if any before commencement of MTF.
2. Stock broker may set up its own risk management policy that will be applicable to the transactions done under the Margin Trading Facility. Stock broker may make amendments there to at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the Margin Trading Facility.
3. The broker has a right to retain and/or pledge the securities provided as collateral or the securities bought by the client under the Margin Trading Facility.
4. The broker may liquidate the securities if the client fails to meet the margin call made by the broker as mutually agreed of liquidation terms but not exceeding 5 working days from the day of margin call.

### **STOCK BROKER OBLIGATIONS**

1. Stock broker shall agree with the client the terms and condition before extending Margin Trading Facility to such client. However, for clients who already have existing trading relationship and want to avail of Margin Trading Facility, stock broker may take consent in writing in his own hand or in any irrefutable electronic method after stock broker has communicated the terms and conditions of Margin Trading Facility to such existing clients.
2. The terms and conditions of Margin Trading Facility shall be identified separately, in a distinct section if given as a part of account opening agreement.

3. The mode of communication of order confirmation, margin calls or liquidation of position/security shall be as agreed between the broker and the client and shall be in writing in his own hand or in any irrefutable electronic method. Stock broker shall prescribe and communicate its margin policies on haircuts/ VAR margins subject to minimum requirements specified by SEBI and exchanges from time to time.
4. The Stock Broker shall monitor and review on a continuous basis the client's positions with regard to MTF. It is desirable that appropriate alert mechanism is set up through which clients are alerted on possible breach of margin requirements.
5. Any transaction to be considered for exposure to MTF shall be determined as per the policy of the broker provided that such determination shall happen not later than T + 1 day.
6. If the transaction is entered under margin trading account, there will not be any further confirmation that it is margin trading transaction other than contract note.
7. In case the determination happens after the issuance of contract, the broker shall issue appropriate records to communicate to Client the change in status of transaction from Normal to Margin trading and should include information like the original contract number and the margin statement and the changed data.
8. The Stock Broker shall make a 'margin call' requiring the client to place such margin; any such call shall clearly indicate the additional/deficient margin to be made good.
9. Time period for liquidation of position/security shall be in accordance declared policy of the broker as applicable to all MTF clients consistently. However, the same should not be later than 5 working (trading) days from the day of 'margin call'. If securities are liquidated, the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.
10. The daily margin statements sent by broker to the client shall identify the margin/collateral for Margin Trading separately.
11. Margin Trading Accounts where there was no transactions for 90 days shall be settled immediately.
12. The stocks deposited as collateral with the stock broker for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and there shall not be any comingling for the purpose of computing funding amount;
13. Stock Broker shall close/terminate the account of the client forthwith upon receipt of such request from the client subject to the condition that the client has paid dues under Margin Trading Facility.

#### **TERMINATION OF RELATIONSHIP**

1. The margin trading arrangement between the stock broker and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the margin trading facility provided to the Stock Broker or the Stock Broker surrenders the facility or the Stock Broker ceases to be a member of the stock exchange.
2. The MTF facility may be withdrawn by the broker, in the event of client committing any breach of any terms or conditions therein or at anytime after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the margin trading facility in the event of broker committing any breach of any terms or conditions therein or for any other reason.
3. In the event of termination of this arrangement, the client shall forthwith settle the dues of the Stock Broker. The Stock Broker shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes the Stock Broker to make such adjustment.
4. After such adjustment, if any further amount is due from the client to the Stock Broker, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to the Stock Broker, the Stock Broker shall release the balance amount to the client.
5. If the client opts to terminate the margin trading facility, broker shall forthwith return to the client all the collaterals provided and

## VOLUNTARY

### DECLARATION BY FIRM (SOLE PROPRIETORSHIP) ON LETTER HEAD OF THE FIRM

To \_\_\_\_\_ Date

**CROWN CONSULTANTS (P) LTD.**

G6/7, Amit Indl. Estate, Ground Floor, Near Gandhi Hospital,  
Dr. S.S.Rao Road, Parel (East) Mumbai - 400 012

Dear Sir,

I refer to the trading account opened with you in the name of \_\_\_\_\_  
\_\_\_\_\_ and declare and authorise you as under.

I recognise that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as Per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operation, I authorise you to recognise the beneficiary Account No. \_\_\_\_\_ with depository \_\_\_\_\_ opened in the name of the undersigned who is the sole proprietor of the firm.

I agree that the obligation for shares purchased and/ or sold by the firm will be handled and completed through transfers to/ from the above mentioned account. I recognise 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.

**Signature ( Please Sign with Stamp of the Firm)**

Signature  (30/48) \_\_\_\_\_

Further I the undersigned am the sole proprietor of the firm and am solely responsible for the liabilities thereof. I shall advise you in writing of any change that takes place in the constitution of the firm and I will be personally liable to you for all the obligations that the firm may incur in the course of dealings with you and undertake to personally discharge such liabilities.

Yours truly,

**Signature ( Please Sign with Stamp of the Firm)**

Signature  (31/48) \_\_\_\_\_

### DECLARATION BY GUARDIAN (IN CASE OF ACCOUNT OPENING FOR MINOR)

To \_\_\_\_\_ Date

**CROWN CONSULTANTS (P) LTD.**

G6/7, Amit Indl. Estate, Ground Floor, Near Gandhi Hospital,  
Dr. S.S.Rao Road, Parel (East) Mumbai - 400 012

Dear Sir,

This is with reference to the account opened in the name of minor \_\_\_\_\_ U/G of Mr./Ms. \_\_\_\_\_ with you for the purpose of dealing in securities on the stock exchange(s).


With reference to the aforementioned trading account, you are requested to kindly accept / receipt of payments relating to funds / transfer of securities to / from the account of my son / daughter Master / Ms. \_\_\_\_\_ as per the details given below for all future dealings in the trading account.

**BANK DETAILS**

Bank Account No.	Beneficiary ID No.
Bank Name	DP ID No.
Branch	DP Name

I shall be held personally responsible to all the debit and credit transactions dealt in the above account. Kindly do the needful.

Yours truly,

Signature  (32/48) \_\_\_\_\_



## PART - IV

# ADDITIONAL FORM FOR OPENING DEMAT ACCOUNT



**CROWN**

*Your Goals.....Our Solutions*

**ADDITIONAL KYC CLIENT FORM FOR OPENING A DEMAT ACCOUNT**



**CROWN CONSULTANTS (P) LTD.**

G6/7, Amit Indl. Estate, Ground Floor, Near Gandhi Hospital, Dr. S.S.Rao Road, Parel (East) Mumbai - 400 012

Phone:+91-22- 4069 0701 Fax:+91-22- 4069 0777

Email : compliance@crownssec.com and commodities@crownssec.com www.crownssec.com

(To be filled by the Depository Participant)

Application No.											Date										
DP Internal Reference No.																					
<b>DP ID</b>	1	2	0	7	0	0	0	0	<b>Client ID</b>												

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

I/We request you to open a 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 made applicable.

**TYPE OF ACCOUNT (Please tick whichever is applicable)**

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

**DETAILS OF GUARDIAN (In case the account holder is Minor)**




Note : Joint Holder is not allowed in Minor's Account

Guardian's Name											PAN :										
Relationship with the applicant											PAN :										

**OTHER DETAILS**

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






City :			
State :			
Pin :			
Country :			
Telephone No. :			
Fax No.			
PAN No.			
UID :			
Email ID :			
Relationship with the BO :			
Date of birth (mandatory if Nominees is a minor):			
Name of the Guardian of Nominee (if the Nominees is a minor): *First Name: Middle Name: *Last Name	..... ..... .....	..... ..... .....	..... ..... .....
*Address of the Guardian of nominees:			
*City :			
*State :			
*Country :			
*Pin :			
Age			
Telephone :			
Fax No :			
Email ID :			
*Relationship of the Guardian with the Nominees:			
*Percentage of allocation of securities :			
*Residual Securities [please tick any one nominee. If tick not marked default will be first nominee] :	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
 (33/48) Signature of First/Sole Holder	 (33/48) Signature of Second Holder	 (33/48) Signature of Third Holder	

**Note:** Residual securities: incase of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

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

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	 (34/48)	 (34/48)	 (34/48)

**Note:** One witness shall attest signature(s) / Thumb impression(s).

Details of the Witness	
	<b>First Witness</b>
Name of Witness	
Address of Witness	
Signature of Witness	




Nomination accepted and registered wide Registration No. \_\_\_\_\_ dated \_\_\_\_\_.

For Depository Participant

(Authorised Signatory)




### **DECLARATION**

I/We have received and read the Rights and Obligations documents and terms & conditions DP-BO agreement and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	<b>First/Sole Holder or Guardian (in case of Minor)</b>	<b>Second Holder</b>	<b>Third Holder</b>
Name			
Signatures <i>(Signatures should be preferably in black ink).</i>	 (35/48) _____	 (35/48) _____	 (35/48) _____

### **DECLARATION UNDER FEMA REGULATIONS – (Only For NRI Clients)**

I / We hereby declare that I / we am / are Non resident Indian/s and undertake to intimate you about the change of my / our NRI status from time to time. I / We also declare that all transactions done by me / us in my / our demat account are in compliance with FEMA Regulations and I/we shall abide by it in case of any change in future from time to time as per rules and regulations.

	<b>First/Sole Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
Signatures	 (36/48) _____	 (36/48) _____	 (36/48) _____

## 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 400001 and all its branch offices and includes its successors and assigns.
2. DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

### Availability:

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

### Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by 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 error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

### Fees:

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

### Disclaimer:

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

### Liability and Indemnity:

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

### Amendments:

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

### Governing Law and Jurisdiction:

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

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

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

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

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

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

BOID	<table border="1"><tr><td>1</td><td>2</td><td>0</td><td>7</td><td>0</td><td>0</td><td>0</td><td>0</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>	1	2	0	7	0	0	0	0													
1	2	0	7	0	0	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)																					

Date : \_\_\_\_\_  
Place : \_\_\_\_\_  
Signature (First Holder)

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Signature (Second Holder)

Signature (Third Holder)

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

### 1. Definitions:

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

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
  - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
  - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
  - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
  - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
  3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
  4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
  5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
  6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
  7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
  8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
  9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
  10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
  11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
  12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
  13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
  14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
  15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
  16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. **Indemnity:**  
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
  18. **Disclaimer:**  
Depository shall be absolved of any liability in case:-
    - a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
    - b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
    - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

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

 (38/48) \_\_\_\_\_  
**Signature (First Holder)**

 (38/48) \_\_\_\_\_  
**Signature (Second Holder)**

 (38/48) \_\_\_\_\_  
**Signature (Third Holder)**

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

### General Clause

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

### Beneficial Owner information

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

### Fees / Charges / Tariff

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

### Dematerialization

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

### Separate Accounts

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

### Transfer of Securities

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

### Statement of account

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

### Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

### Default in payment of charges

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

### Liability of the Depository

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

### Freezing/ Defreezing of accounts

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

### Redressal of Investor grievance

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

### Authorized representative

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

### Law and Jurisdiction

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

Date :

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

 (39/48)

Signature (First Holder)

 (39/48)

Signature (Second Holder)

 (39/48)

Signature (Third Holder)



**Note : Execution of Power of Attorney is not mandatory**  
**POWER OF ATTORNEY**

I/We \_\_\_\_\_ hold a beneficiary

account no. 12070000 \_\_\_\_\_ with Central Depository Services (India) Ltd., through its Depository Participant, CROWN CONSULTANTS (P) LTD., having DP ID 12070000

Whereas I/we am/are engaged in buying and selling of securities and their derivatives through CROWN CONSULTANTS (P) LTD. in its capacity as members of various stock exchanges in various market segments.

And whereas due to constraints of time and to attain operational convenience. I/We am/are desirous of appointing an agent/attorney to operate the aforesaid beneficiary account on my/our behalf for a limited purpose in the manner hereinafter appearing.

NOW KNOW BY ALL THESE PRESENTS WITNESSETH THAT I/WE THE ABOVE NAMED DO HEREBY NOMINATE, CONSTITUTE AND APPOINT CROWN CONSULTANTS (P) LTD. as true and lawful attorney for me/us and on my/ our behalf and in my/our name to transfer securities from the aforesaid account for the purpose of fulfilling the pay-in obligations of securities arising out of trades effected in my account through CROWN CONSULTANTS (P) LTD. on any segment of a recognized stock exchange, and for transferring securities from the aforesaid account to the client margin Demat Account of CROWN CONSULTANTS (P) LTD. against trades in my account in any segment of the securities exchanges.

I/we further authorise CROWN CONSULTANTS (P) LTD. to do all the above mentioned acts in respect of trades undertaken by me/us on any other market segment/exchange of which CROWN CONSULTANTS (P) LTD. may become a member in the future

I further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until I/we have given to the Depository Participant intimation in writing to the contrary. The said intimation needs to be signed by all the holders. Such revocation shall in no way affect the validity of any transaction(s) carried out by CROWN CONSULTANTS (P) LTD. prior to the actual receipt by CROWN CONSULTANTS (P) LTD. of such written intimation of revocation duly signed by all the signatories to the POA already executed by you in our favour. However, such revocation of the Power of Attorney shall become effective only after all your pending settlement / margin obligations and dues towards CROWN CONSULTANTS (P) LTD. have been fulfilled.

In case of movement, the securities shall only be moved to the following accounts of CROWN CONSULTANTS (P) LTD.:-

Signature  
(First Holder)

Signature  
(Second Holder)

Signature  
(Third Holder)

S.No.	DMAT Account	S.No.	DMAT Account
1	1207000000005893 (CDSL BSE Pool)	2	1207000000005889 (CDSL BSE Principal)
3	1207000000000010 (CDSL NSE Pool)	4	1207000000000031 (CDSL Margin )
5	IN560940 (NSDL NSE Pool)	6	IN666835 (NSDL BSE Pool)
7	1100001100014494 (NSE Early Payin Account)	8	1207000000000059 (CDSL MCX Margin Account)
9	1100001000024029 (BSE Early Payin Account)	10	
11		12	

Further, any securities that may have been received by CROWN CONSULTANTS (P) LTD. erroneously or those securities that CROWN CONSULTANTS (P) LTD. was not entitled to receive from the client(s) will be immediately returned upon discovery of the same.

We also accept your authorization to send consolidated summary of your scrip-wise buy and sell positions taken with average rates to the client by way of SMS / email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

This document shall be subject to the jurisdiction of the Courts at Mumbai.

IN WITNESS whereof I/We set my/our hands at this \_\_\_\_\_ day \_\_\_\_\_ of 20 \_\_\_\_\_

Mr./Ms. \_\_\_\_\_ Signature First Holder  (41/48)

Mr./Ms. \_\_\_\_\_ Signature Second Holder  (41/48)

Mr./Ms. \_\_\_\_\_ Signature Third Holder  (41/48)

**\* To be signed by the client alongwith rubber stamp only in case of HUF Account**

No.	Details of Members	Name	Signature*
1.	Karta		#
2.	Co-parcener		#
3.	Co-poarcener		#
4.	Co-parcener		#
5.	Co-parcener		#

The within named \_\_\_\_\_

In the presence of : \_\_\_\_\_

**Witness**

Name \_\_\_\_\_  
 Address \_\_\_\_\_  
 Signature # \_\_\_\_\_

**Witness**

Name \_\_\_\_\_  
 Address \_\_\_\_\_  
 Signature # \_\_\_\_\_

For **Crown Consultants (P) Ltd.**  
 Authorised Signatory Details :  
 Name :  
 Signature #

## CHARGES SCHEDULE FOR INDIVIDUALS, HUF & CORPORATES

PARTICULARS	SCHEDULE A INDIVIDUAL+HUF (REGULAR AMC)	SCHEDULE B INDIVIDUAL+HUF (NO AMC)	SCHEDULE C (NON-INDIVIDUALS)
Account Opening Charges	NIL	NIL	NIL
Refundable Deposits	NIL	Rs. 2000/-	Rs. 1000/-
Account Maintenance Charges	Rs. 350/- P.A.	NIL	Rs. 1000/- P.A.
Transaction Charges	To CCPL Pool Rs.20/- per debit or 0.02% of value of transaction whichever is higher. To any other pool / Ben A/c Rs.75/- per debit or 0.05% of the value of transaction which ever is higher.	To CCPL Pool Rs.20/- per debit or 0.02% of value of transaction whichever is higher. To any other pool / Ben A/c Rs.75/- per debit or 0.05% of the value of transaction which ever is higher.	To CCPL Pool Rs.20/- per debit or 0.02% of value of transaction whichever is higher. To any other pool / Ben A/c Rs.75/- per debit or 0.05% of the value of transaction which ever is higher.
Demat Charges	Rs. 10 per certificate; minimum Rs.50 per request.	Rs. 10 per certificate; minimum Rs.50 per request.	Rs. 10 per certificate; minimum Rs.50 per request.
Demat Rejection Charges	Rs. 10 per certificate; minimum Rs.80 per rejection.	Rs. 10 per certificate; minimum Rs.80 per rejection.	Rs. 10 per certificate; minimum Rs.80 per rejection.
Remat Charges	Rs.20/- per every 100 shares or part thereof OR Rs.20/- per certificate, whichever is higher; minimum Rs.50 per request.	Rs.20/- per every 100 shares or part thereof OR Rs.20/- per certificate, whichever is higher; minimum Rs.50 per request.	Rs.20/- per every 100 shares or part thereof OR Rs.20/- per certificate, whichever is higher; minimum Rs.50 per request.
Pledge Creation	Rs.50/- per ISIN	Rs.50/- per ISIN	Rs.50/- per ISIN
Pledge Closure	Rs.50/- per ISIN	Rs.50/- per ISIN	Rs.50/- per ISIN
Pledge Closure	Rs.50/- per ISIN	Rs.50/- per ISIN	Rs.50/- per ISIN
Pledge Invocation	Rs.25/- per ISIN	Rs.25/- per ISIN	Rs.25/- per ISIN
Failed Instruction Charges	Rs.20/- per ISIN	Rs.20/- per ISIN	Rs.20/- per ISIN
DIS Book	First Book Free. (Rs. 20/- for 5 leafs)	First Book Free. (Rs. 20/- for 5 leafs)	First Book Free. (Rs. 20/- for 5 leafs)
Internet Facility 'easi'	Rs. 100/- P.A.	Rs. 100/- P.A.	Rs. 100/- P.A.
Documentation & KRA Charges	Rs. 1000/-	Rs. 1000/-	Rs. 1000/-
Easiest – Account of choice	Rs. 2250/- + 18% G.S.T included in the Monthly bill (If required)		

### Notes:

- Overseas Courier / Consignment will be charged on actual basis.
- AMC would be charged in advance.
- All charges would levy GST or any other tax applicable.
- Bills will be sent on Monthly basis if any transactions has been carried out in that month; otherwise Quarterly via email. Physical Statement will be charges Rs. 10/- per statement + Courier Charges.
- Non Periodic Statements and other Communications shall be charged extra on actual basis.
- Client Modification / Additional Client Master would be charged Rs. 25/-
- Delivery Instruction by FAX would be charged additional Rs. 5/- per instruction..
- All charges / Services are subject to revision by giving not less than 30 days notice at the sole discretion of CCPL and as per revision in CDSL Charges.
- In case of non-payment of bill / dues within 30 days of due date, interest shall levy @ 18% p.a.
- The depository services are liable to be discontinued on such default. The renewable charges for the same will be Rs. 100/-
- Any hardware / software cost for 'easiest' e-Token, Digital Signature, etc. shall be borne by the account holder (upfront).
- Any other service, which is not mentioned above, will be charged separately as per the rates applicable from time to time.
- Easiest new token Rs. 2250/- + 18% G. S. T. Included in Monthly Bill. (If required)

Signature

 (42/48)

Sole / First Holder

 (42/48)

Second Holder

 (42/48)

Third Holder

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

To,  
**CROWN CONSULTANTS (P) LTD.**  
Depository Services,  
G6/7, Amit Indl. Estate, Ground Floor, Near Gandhi Hospital,  
Dr. S.S.Rao Road, Parel (East) Mumbai - 400 012

**Re: Beneficial Owner (BO) Account No. 12070000**\_\_\_\_\_

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.

Thanking you,

Signature

 (43/48)

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

 (43/48)

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

 (43/48)

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

## HUF DECLARATION

### CROWN CONSULTANTS (P) LTD.

G6/7, Amit Indl. Estate, Ground Floor, Near Gandhi Hospital,  
Dr. S.S.Rao Road, Parel (East) Mumbai - 400 012

A/c.No. ....

1. WHEREAS The Hindu Undivided Family of ..... is carrying on business in the firm name and style of ..... at ..... or we intent to deal, have or desire to have Share Trading Account & Demat Account with CROWN CONSULTANTS (P) LTD. (hereinafter referred as 'Member') We, Undersigned, hereby confirm and declare that we are the present adult co-parceners of the said joint family: that ..... is the present karta of the said joint family.
2. We confirm that affairs of the H.U.F firm are carried on mainly by the karta ..... on behalf and in the interest and for the benefit of all the co-parceners WE hereby authorize the Karta ..... on behalf of the H.U.F to deal on Capital market segment (CM), Futures and Options segment (F&O), Retail Debt Market segment (RDM) or any other segment that may be introduced by NSE/BSE in future and the said Trading Members is hereby authorized to honour all instructions oral or written, given by him on behalf of the H.U.F.  
Mr./Mrs..... is authorized to sell, purchase, transfer, endorse, negotiate documents and / or otherwise deal through CROWN CONSULTANTS (P) LTD. on behalf of the H.U.F. .... He is also authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said H.U.F. firm to the Member and agree and confirm that any claim due to the members from the said H.U.F. firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every co-parceners, if any.
3. We undertake to advise the Member in writing of any change that may occur in the Kartaship or in the constitution of the said joint family or of said H.U.F. firm and until receipt of such notice by the Member which shall be binding on the said joint family and the said H.U.F. firm and on our respective estates. We shall, However, continue to be liable jointly and severally to the Member for all dues obligations of the said H.U.F. firm in the Member's book on the date of the receipt of such notice by the Member and until all such dues and Obligations shall have been liquidated and discharged.
4. We recognize that a beneficiary account can be opened with Depository Participant only in the name of Karta as per regulations. To facilitate the operation of the above share trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account no ..... with Depository..... Opened in name of ..... who is the karta of this H.U.F. firm.
5. The name and dates of birth of the present minor co-parceners of the said joint family are given below. We undertake to inform you in writing as and when each of the said members attains the age of majority and is authorized to act on behalf of, and bind the said H.U.F. Firm.

No.	Details of Members	Name	Age	Relationship	Sex	Address	Signature*
1.	Karta						
2.	Co-parcener						
3.	Co-poarcener						
4.	Co-parcener						
5.	Co-parcener						
No.	Name of Minor		Father's Name			Date of Birth	
1.							
2.							

\*To be signed by the client alongwith rubber stamp only in case of HUF Account

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

**CROWN CONSULTANTS (P) LTD.**




G6/7, Amit Indl. Estate, Ground Floor, Near Gandhi Hospital,  
Dr. S.S.Rao Road, Parel (East) Mumbai - 400 012

**Option for availing BASIC SERVICE DEMAT ACCOUNT (BSDA)**

If you wish to avail BSDA facility in your Depository A/c no. 12070000\_\_\_\_\_, we request you to please fill up the attached BSDA Declaration.

If you do not wish to avail BSDA facility, we request you to please tick the box below:

I/we do not wish to avail the BSDA facility

	Signature
Sole / First Holder	 (44/48)
Second Holder	 (44/48)
Third Holder	 (44/48)

**DECLARATION FOR COMMON E-MAIL ID AND/OR MOBILE NUMBER**

**CROWN CONSULTANTS (P) LTD.**

G6/7, Amit Indl. Estate, Ground Floor, Near Gandhi Hospital,  
Dr. S.S.Rao Road, Parel (East) Mumbai - 400 012

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

Dear Sir / Madam,


**Subject : Request for updating common E-mail Id AND/OR Mobile Number in my/our account. [Please tick (✓) wherever applicable]**

I/we below named client hereby request CCPL to use the mobile number AND / OR E-mail ID as mentioned below pertaining to my/our Family Member1 / Authorised Person/ Company/ HUF/ Firm/ Trust2 as mentioned below who is also a client of yours under below mentioned client code. I hereby request you to use below mentioned Mobile Number AND / OR E-mail Id for communicating with reference to my account with you. I further undertake to indemnify CCPL and its representatives wholly against any loss, injury, claim or damages including any client confidentiality undertaking that may suffer by issuing any notification on above given contact details.

Trading Code																				
DP ID	1	2	0	7	0	0	0	0		Demat Client ID										
Name of account holder																				
<input type="checkbox"/> Mobile No.																				
<input type="checkbox"/> Email ID																				

I hereby declare that the aforesaid Mobile number AND/OR E-mail Id belongs to	<input type="checkbox"/> Me
	<input type="checkbox"/> <b>My family</b> (Please specify the relation below)
	<input type="checkbox"/> <b>Spouse</b> <input type="checkbox"/> <b>Dependent Children</b> <input type="checkbox"/> <b>Dependent Parents</b>
Signature of Account Holder	 (45/48)

I/we below named client authorise CCPL to send/communicate all the information pertaining to above referred client of CCPL on my/our Email id and/or Mobile Number as per our trading/depository account with CCPL:

Existing Account Holder Signature	 (46/48)	
Existing Account Holder Name		
Existing Account Holder Trading Code		Demat ID

**\* Strike off whichever is not applicable**

- 1 Family for this purpose would mean self, spouse, dependent children and dependent parents.
- 2 Authorised Person for this purpose means a person authorised by the board of company/Karta of HUF /Authorised Person of Partnership firm/Authorised Person or Trustee of Trust.

**OPTION FORM FOR ISSUE OF DIS BOOKLET**

Date

<b>DP ID</b>	1	2	0	7	0	0	0	0	<b>Client ID</b>								
Sole / First Holder's Name																	
Second Holder's Name																	
Third Holder's Name																	

To,  
**CROWN CONSULTANTS (P) LTD.**  
 G6/7, Amit Indl. Estate, Ground Floor, Near Gandhi Hospital,  
 Dr. S.S.Rao Road, Parel (East) Mumbai - 400 012

Dear Sir / Madam,




I / We hereby state that :

[Select one of the options given below]

**OPTION 1 :**

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




Yours faithfully

	<b>First / Sole Holer</b>	<b>Second Holder</b>	<b>Third Holder</b>
Name			
Signatures	 (47/48)	 (47/48)	 (47/48)

**OPTION 2 :**

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

Yours faithfully

	<b>First / Sole Holer</b>	<b>Second Holder</b>	<b>Third Holder</b>
Name			
Signatures	 (48/48)	 (48/48)	 (48/48)

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

**Acknowledgement Receipt**

DP ID : **12070000**

Client ID

Name of the Sole / First Holder

Name of Second Joint Holder

Name of Third Joint Holder

**Depository Participant Seal and Signature**





**CROWN**

*Your Goals....Our Solutions*

**REGISTERED & CORRESPONDENCE OFFICE ADDRESS**

G6/7, Amit Indl. Estate, Ground Floor, Near Gandhi Hospital

Dr. S.S.Rao Road, Parel (East) Mumbai - 400 012

Phone:+91-22- 4069 0701 Fax:+91-22- 4069 0777

Email : [compliance@crowsec.com](mailto:compliance@crowsec.com) and [commodities@crowsec.com](mailto:commodities@crowsec.com)

[www.crowsec.com](http://www.crowsec.com)

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