# KYC FORM (Non-Individual)

CLIENT REGISTRATION FORM

NAME :

Client Code :

Introducer Name :

Date :

Group Code :

Place:

# REGISTRATION FOR : NSE CASH SEGMENT

# 

# NSE DERIVATIVE SEGMENT

# 

# NSE CURRENCY SEGMENT

# M/s DEEPAK GUPTA

# Member of NSE

# 9, shopping centre, janta colony, jaipur -302004

# Tele : 0141-2606032 | Email: deepakguptats@gmail.com

# logo.jpg

Full Name of Verifier:

Employee Code:

\*Copies of all documents to be self attested.

1. General

KYC Checklist

VI. HUF

Passport size photo PAN Card Signed across Pan Verification

Pan Card of Karta Pan Card (HUF)

Address Proof of Karta Deed of Declaration of HUF

Clients signature on all required Places

In person verification stamp on all docs (Individuals) Original seen and verified stamp on all docs

Address proof of HUF HUF Stamp

List of Coparceners

Signature Coparcener on POA HUF Demat Proof (Trading only)

Photograph of Karta

Witness Signature Agreement Date

1. Proof of Identify

All Copies Self Attested Financial Documentary Proof

Bank Pass Book in the name of HUF

VII. Corporate

Bank Statement in the name of HUF

Holders: 1st holder 2nd holder 3rd holder PAN card with Photograph UID (Aadhaar)

Any other Supporting doc;

1. Proof of Permanent Address

Holders: 1st holder 2nd holder 3rd holder

MOA, AOA & COI

Photo of Directors Company Address Proof Form 18

All Director’s PAN

Last 2 Years Financials

Certified copy of BR Company PAN Form 32

Authorised Directors’s Address Proof

IT Returns

Ration Card Voter ID

Bank Passbook (Not more than 3 months old)

Valid Passport

Valid Driving License Electricity Bill

(Not more than

3 months old)

(to be Submitted every year)

Copy of latest holding pattern (to be Submitted every year)

Authorised signatory list with specimen signatures

New Company- Network Certificate PAN of Individual Promoters

PAN of Person Authorised

Land line Bill Bank Statement

to deal in Securities

(Not more than 3 months old)

(Not more than 3 months old)

VIII. Demat Proof (Latest of 1 year - Only for Trading)

Registered Lease or Sale Agreement

Bank Verification Letter

Client Master DP Statement

Welcome Letter

Any other Supporting doc:

1. Proof of Correspondence address

Transaction cum Holding Statement

IX. Partnership A/c

Ration Card Voter ID

Bank Passbook

Land line Bill

Valid Passport

Valid Driving License Electricity Bill

(Not more than 3 months old)

Bank Statement

Identity Proof (all partners)

Partnership Deed copy PAN of Partners

Address Proof (all partners)

Signatory Letter Photos of Partners

(Not more than

2 months old) Sell Agreement

(Not more than 3 months old)

Leave & Licence Agreement (Not more than 3 months old)

Copy of Balance sheet for last 2 yrs

Authorised signatory list with specimen signatures Certificate of Registration

Bank Verification Letter

V. Bank Proof With MICR Code (HUF, NRI, Corporate)

1. Trust

Copy of Balance sheet for last 2 yrs

List of trustees certified by managing trustees / CA

Cancelled cheque Bank Statement Pass book Letter from bank

1. Financial Documentary Proof

Copy of ITR Acknowledgement Copy of Annual Accounts

Copy of Form 16 in case of salary income Net worth certificate

Salary Slip

Certificate of Registration Address Proof (all trustees)

Trust Deed copy Photos of trustees PAN of trustees

Bank account statement for last 6 months Copy of demat account Holding statement.

Any other relevant documents substantiating ownership of assets. Self declaration along with relevant supporting

***\*Please go through the Instruction/Checklist for filing KYC Form for further details.***

##### M/s Deepak Gupta

9. shopping centre, janta colony, Jaipur -302004 Tel.: 0141-2606032

# INDEX OF DOCUMENTS

|  |  |  |  |
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| **MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES** | | | |
| 1. | Account Opening Form and KRA Form | A. KYC Form - Document captures the basic information about the constituent and an instruction/check list. | 1 to 11 |
| B. Document captures the additional information about the constituent relevant to Trading/ Demat account and an instruction/check list. |
| 2. | Tariff sheet | Document detailing the rate/amount of brokerage & other charges levied on the client for trading on stock exchange(s)& DPServicecharges/Fee Structure | 12 to 13 |
| 3. | Beneficial Ownership Determination Form | Document for determination of Natural person/s who ultimately own, control/influence a client and/or persons on whose behalf a transaction is being conducted. | 14 to 15 |
| 4. | ⯆ Declaration by HUF & consent letter  ⯆ Declaration by partnership Firm  ⯆ Board Resolution (Trading / Demat) | Declarations / Documents required from different persons for execution of various client registration documents. | 16 to 18 |
| 5. | Rights and Obligations | Document stating the Rights & Obligations of stock broker/trading member, sub-broker/Authorised Person and client for trading on exchange (including additional rights & obligations in case of internet/wireless technology based trading). | **SEPARATE COPY FOR CLIENT** |
| 6. | Risk Disclosure Document (RDD) | Document detailing risks associated with dealing in the securities market. |
| 7. | Guidance note | Document detailing do's and don'ts for trading on exchange, for the education of the investors. |
| 8. | Rights and Obligations for DP | Document stating the Rights & Obligations of Beneficial Owner and Depository Participant. |
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| **VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER** | | | |
| 1. | Voluntary Terms & Conditions | Additional terms & conditions specific to M/s Deepak Gupta for the purpose of operational efficiency. | 22 to 24 |
| 2. | Running Account authorization | Authorization to maintain a running account | 24 |
| 3. | Power of Attorney for the purpose of settlement / Margin obligation | POA provided by BO to M/s Deepak Gupta for settlement / Margin purpose | 25 to 26 |
| 4. | Declaration on Mobile Number / Email Id | Declaration from client for updation of Mobile Number / Email Id | 27 |
| 5. | Mutual Fund Service System facility (NSE) / BSE Star MF | Availing facility for online dealing in units of Mutual funds in NSE / BSE | 27 |

##### IMPORTANT NOTE

* 1. **Signature Types:**

 Signature of the Client / First Holder Signature of the Witness Signature of the Broker

Signature of the Sub-Broker Signature of Second Holder Signature of Third Holder

##### In case of any correction in the form -Sign next to the correction done & Sign has to match the original signature

**M/s Deepak Gupta**

**Member:** National Stock Exchange of India Ltd.

##### Cash and F&O Segment

**SEBI Registration No.:**  NSE (Cash / F&O)- INZ000297911 **TM Code -** 90222

**Currency Derivatives Segment (Trading Member)**

**SEBI Registration No.:** INZ000297911

**TM Code -** NSE Currency 90222

Compliance Officer Name: Mr. Kunal Gupta. Tel.: 0141-2606032.

For any grievance/dispute please contact M/s Deepak Gupta at the above address or email id: [deepakguptats@gmail.com](mailto:deepakguptats@gmail.com%20) and Phone no.: 0141-2606032. In case not satisfied with the response, please contact the concerned exchange: NSE Email: [ignse@nse.co.in](mailto:ignse@nse.co.in) & Tel No: (022) 2659 8190

M/s Deepak Gupta



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

### Application No. :

Please fill in ENGLISH and in BLOCK LETTERS with black ink

##### IDENTITY DETAILS (PLEASE SEE GUIDELINES OVERLEAF)

1. Name of Applicant



**PHOTOGRAPH**

Please affix your r ecent passport size photograph of Authorised Signatory and sign across it

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1. Date of Incorporation

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1. Date of commencement of business
2. a. PAN

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Place of Incorporation

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b. Registration No. (e.g. CIN)

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(1/19)

1. Status (Please tick any one ( )

Private Limited Co.

Public Ltd. Co.

Body Corporate

Trust

Partnership

Charities

NGO’s

FI FII

HUF

AOP

Government Body

Bank

Non-Government Organization

Defense Establishment

BOI

Society

LLP

Others (please specify)

##### ADDRESS DETAILS (PLEASE SEE GUIDELINES OVERLEAF)

1. **Address for Correspondence**

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City/Town/Village State

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1. **Contact Details:** Tel (Off.)

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Mobile No. Email id

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Tel (Res.) Fax

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Pin Code Country

##### Specify the proof of address submitted for Correspondence address:

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1. **Registered Address** (if different from above)

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City/Town/Village State

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Pin Code Country

##### OTHER DETAILS

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

##### a) DIN of whole time directors

**b) Aadhaar number of Promoters/Partners/Karta (Please fill in the details as provided in Annexure)**

##### 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.

Date:

|  |  |  |  |  |  |  |  |
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| D | D | M | M | Y | Y | Y | Y |

Name & Signature of the Authorised Signatory

(2/19)

##### FOR OFFICE USE ONLY

AMC / Intermediary name OR code

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

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

Ver 2.1

1

##### INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

1. **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/PIO Card/OCICard and overseas address proof is mandatory.
   8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
   9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
   10. For opening an account with Depository participant or Mutual Fund for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
   11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.
2. **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.
3. **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.
4. **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.
5. **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.
6. **In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:**

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

2

# ANNEXURE

### 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 and Aadhaar | Name | DIN (For Directors)/ UID (For Others) | Residential / Registered Address | Relationship with Applicant (i.e. promoters, whole time directors etc.) | Whether Politically Exposed | Photograph |
|  |  |  |  |  |  | PEP RPEP NO |  |
|  |  |  |  |  |  | PEP RPEP NO |  |
|  |  |  |  |  |  | PEP RPEP NO |  |

Name & Signature of the Authorised Signatory(ies)

d d

m m

3

Date / /

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

|  |  |  |  |
| --- | --- | --- | --- |
| y | y | y | y |

# ANNEXURE

### 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 and Aadhaar | Name | DIN (For Directors)/ UID (For Others) | Residential / Registered Address | Relationship with Applicant (i.e. promoters, whole time directors etc.) | Whether Politically Exposed | Photograph |
|  |  |  |  |  |  | PEP RPEP NO |  |
|  |  |  |  |  |  | PEP RPEP NO |  |
|  |  |  |  |  |  | PEP RPEP NO |  |

Name & Signature of the Authorised Signatory(ies)

d d

m m

4

Date / /

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

|  |  |  |  |
| --- | --- | --- | --- |
| y | y | y | y |

(This information is the sole property of the trading member / brokerage house and would not be disclosed to anyone unless required by law or except with the express permission of clients) **Application No.:**

**TRADING ACCOUNT RELATED DETAILS**

##### BANK ACCOUNT(S) DETAILS

* 1. **Bank Name** Branch Address Bank A/c No. IFSC Number

MICR Number

A/c Type

Savings

Current

NRI

NRE

NRO

MICR Number

A/c Type

Savings

Current

NRI

NRE

NRO

* 1. **Bank Name** Branch Address Bank A/c No. IFSC Number

##### DEPOSITORY ACCOUNT(S) DETAILS

1. **DP**

CDSL

NSDL

Depository Participant Name Beneficiary Name

DP ID No.

Beneficiary ID

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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(Default for Payout)

##### DP

CDSL

NSDL

Depository Participant Name Beneficiary Name

DP ID No.

Beneficiary ID

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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##### 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** | | | | | |
| **NSE** | Cash (3/19)  F&O (4/19)  Currency Derivative (5/19) |  | **BSE** | Cash (6/19) |  |
|  |
|  |  | | |

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

##### 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: No

If yes, please specify

##### DEALINGS THROUGH SUB-BROKERS/AUTHORISED PERSON (AP) AND OTHER STOCK BROKERS

If client is dealing through the Sub-broker/AP, provide the following details: Sub-broker/AP Name

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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SEBI Registration / Exchange number Registered office address

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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Contact Details Tel (Off)

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | S | T | D |  | T | E | L |  | N | O |  |

Website

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

Tel (Res) FAX

Whether dealing with any other Stock broker/Sub-broker/AP (if case dealing with multiple Stock brokers/Sub-brokers/AP, provide details) Name of stock broker

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | S | T | D |  | T | E | L |  | N | O |  |

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | S | T | D |  | T | E | L |  | N | O |  |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

Name of Sub-broker/AP (if Any)

Client Code Exchange

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

##### ADDITIONAL DETAILS

1. Whether you wish to receive Electronic Contract Note or Physical Contract Note - Specify Specify your Email id: As Per Email ID specified in KRA KYC
2. Whether you wish to avail the facility of internet trading and Mobile Trading (please specify)
3. SMS and Email alerts facility by Stock Exchanges / CDSL I/We accord our consent to receive the following:

Physical Yes

Electronic No

* 1. SMS alerts

Yes No

* 1. Email alerts

Yes No

* 1. SMS and email alerts

Yes No

The mobile number and email Id as specified in the KRAKYC shall be used for the purpose of receiving details of various transactions:

Mobile No. is registered in the name of

Self

Others

In case registered in the name of any other person please specify the following:

Name of the person:

Relationship with the Client

Spouse

Dependant Child

Dependant parent

1. Number of years of Investment/Trading Experience Any other information
2. Nature of business (Product / Services provided)
3. Please tick, if applicable for any of your Authorised Signatories

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

1. Whether any of your Authorised Signatories/ Promoters / Partners / Karta / Trustees & whole time Directors are any of the following, or

are directly or indirectly related to any of the following:

Yes No

Civil Servant

Politician

Current or former head of state

Bureaucrat (Tax authorities, Foreign Services, IAS etc.)

Current or former MP, MLA, MLC Connected to Media

Connected to any promoter group of company listed on any stock exchange Name of the Company

1. Primary Source of Income (Please Specify)
2. Secondary Source of Income

Royalties

Bank Interest

Rental

Dividend

Others (Specify)

##### OTHER DETAILS FOR 1ST HOLDER

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

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

**OR Net worth in** ` **(\*Net worth should not be older than 1 year)**

##### as on (date)

1. **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)

##### Is the entity involved / providing any of the following services

- For Foreign Exchange / Money Changer Services Yes

Yes

No

No

- Money Lending / Pawning Yes No

- Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)

Yes No

##### Any other Information:

**OTHER DETAILS FOR 2ND HOLDER**

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

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

**OR Net worth in** ` **(\*Net worth should not be older than 1 year)**

##### as on (date)

1. **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)

##### Is the entity involved / providing any of the following services

- For Foreign Exchange / Money Changer Services Yes

Yes

No

No

- Money Lending / Pawning Yes No

- Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)

Yes No

##### Any other Information:

**OTHER DETAILS FOR 3RD HOLDER**

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

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

**OR Net worth in** ` **(\*Net worth should not be older than 1 year)**

##### as on (date)

1. **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)

##### Is the entity involved / providing any of the following services

- For Foreign Exchange / Money Changer Services Yes

Yes

No

No

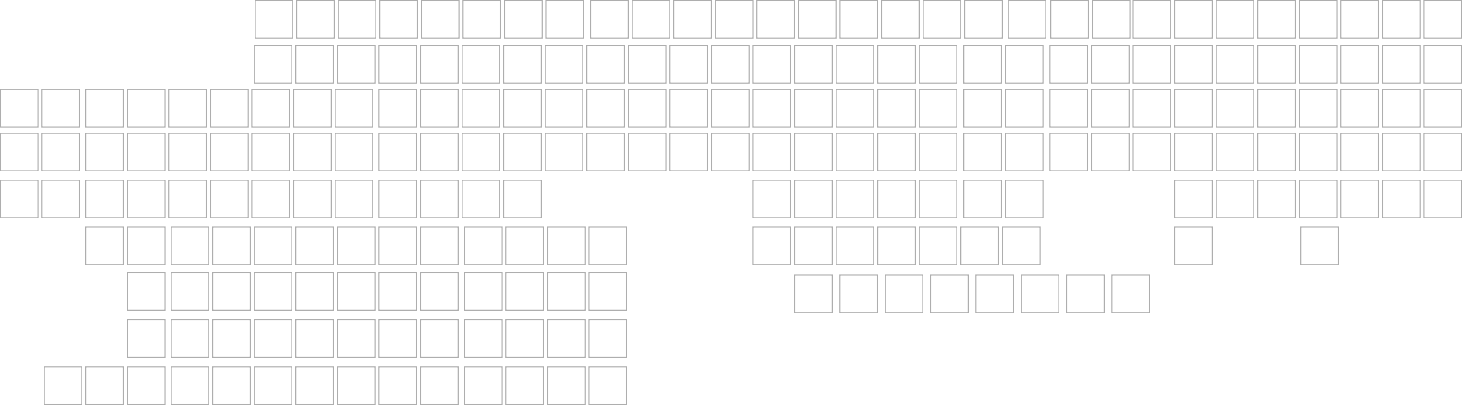
- Money Lending / Pawning Yes No

- Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)

Yes No

##### Any other Information:

**DETAILS OF PERSON AUTHORIZED TO DEAL IN SECURITIES ON BEHALF OF COMPANY / FIRM**



Individual’s Full Name

Residential Address

F I R S T

M I D D L E

L A S T

State Designation Nationality

UID

City/town/village

Country Date of birth

Tel

PAN

Pin Code

Gender

Male

Female

D

D

M

M Y

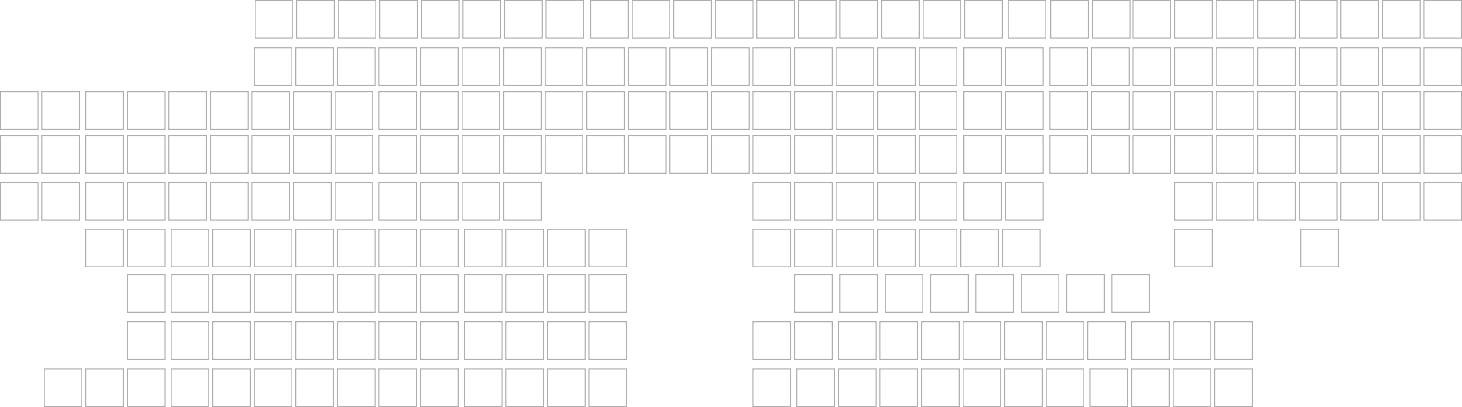
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Y

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|  | S | T | D |  | T | E | L |  | N | O |  |
|  |  |  |  |  |  |  |  |  |  |  |  |





Individual’s Full Name

Residential Address

F I R S T

M I D D L E

L A S T

State Designation Nationality

UID

City/town/village

Country Date of birth

Tel

PAN

Pin Code

Gender Male

Female

D

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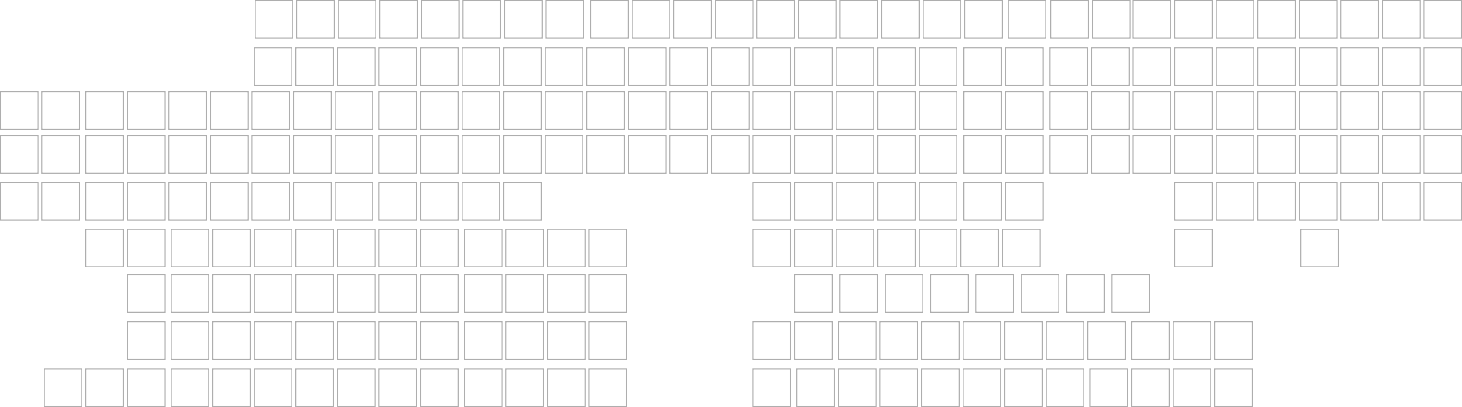
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Individual’s Full Name

Residential Address

F I R S T

M I D D L E

L A S T

State Designation Nationality

UID

City/town/village

Country Date of birth

Tel

PAN

Pin Code

Gender Male

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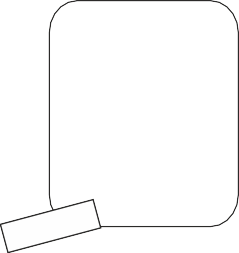
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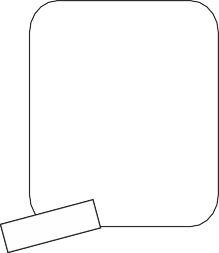


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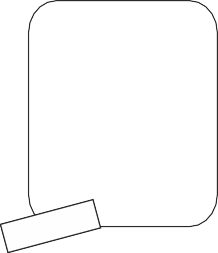
##### (1) (2) (3) (4)



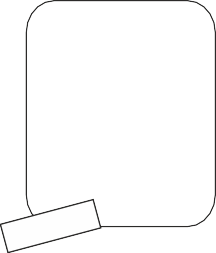
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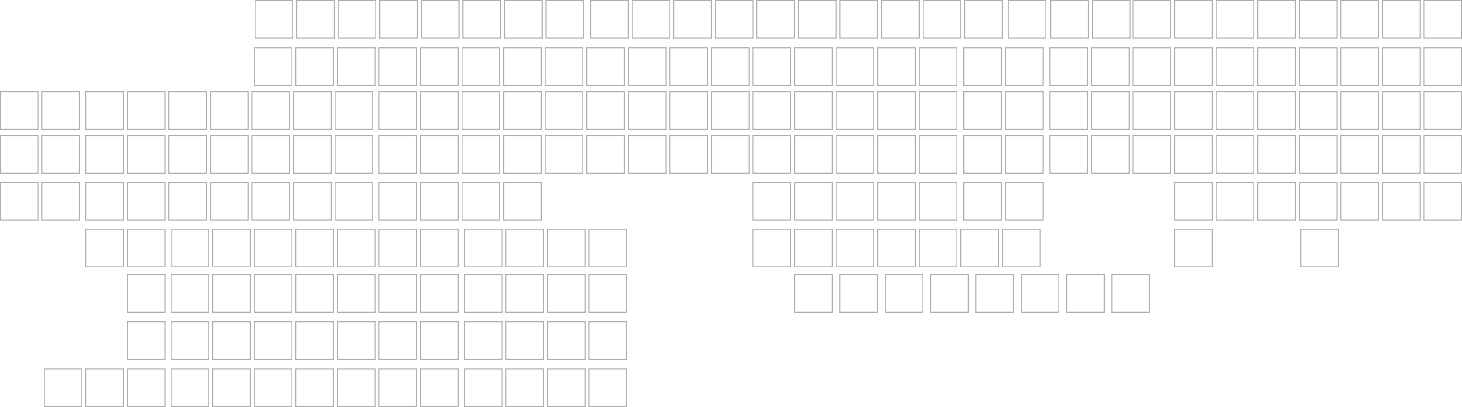
Recent Passport Size Photograph Only



Recent Passport Size Photograph Only



Recent Passport Size Photograph Only



Individual’s Full Name

Residential Address

F I R S T

M I D D L E

L A S T

State Designation Nationality

UID

City/town/village

Country Date of birth

Tel

PAN

Pin Code

Gender

Male

Female

D

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M Y

Y

Y

Y

|  |  |  |
| --- | --- | --- |
| **Sr. No.** | **Name of Authorized Person** | **Signature(s) along with Seal** |
| 1. |  |  |
| 2. |  |  |
| 3. |  |  |
| 4. |  |  |

**G. INTRODUCER DETAILS**

Name of the Introducer Status of the Introducer

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

(Sub-broker/Remisier/Authorized Person/Existing Client/Others, please specify) Residential Address

State Tel

1. T D
2. E L

City/town/village

Country

N O

Pin Code

##### In case introduced by Sub-broker/Authorised Person:

I/we here by confirm that I/we verified the identity & bonafides of the client. I/We undertake to ensure prompt settlement of the transaction carried out by the client and also extend full co-operation to M/s Deepak Gupta to facilitate their smooth dealings with this client. I/We shall also ensure that all the dealings with the client are as per the Rules/Regulations/Bye-laws of Exchanges/SEBI . Further I/We undertake to abide by the operational policies and procedures of M/s Deepak Gupta and also the terms of the agreement entered into by me/us with ABPL.

Signature of the Introducer:

##### DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document', and Guidance note as specified on the KYC handout (Customer Copy) and the same have been provided to me/us. 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 i.e [www.M/s Deepak Guptabroking.com](http://www.angelbroking.com/)

##### Place Date

(7/19)

**Authorised Signatory (Attest with Seal)**

**DEMAT ACCOUNT RELATED ADDITIONAL DETAILS**

##### DP Internal Reference No.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |

**DP ID**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |

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

Client ID

(To be filled by the Depository Participant)

I / We request you to open a Depository Account in my / our name as per the following details:

##### Holders Details

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
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|  |  |  |
| --- | --- | --- |
| Sole / First Holder's Name |  | PAN |
| Second Holder's Name |  | PAN |
| Third Holder's Name |  | PAN |

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

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

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

|  |  |
| --- | --- |
| **Status** | **Sub - Status** |
| Body Corporate Banks Trust Mutual Fund OCB FII CM FI Clearing House Others (Specify) |  |
| SEBI Registration No. (If Applicable) | SEBI Registration Date |
| RBI Registration No. (If Applicable) | RBI Approval Date  D D M M Y Y Y Y |
| Nationality Indian Others (Specify) |  |

##### CLEARING MEMBERS DETAILS (To be filled by CMs only)

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
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Name of Stock Exchange Name of th

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| e CC / CH | | | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  | |  | |  | |  | |  | |  | |  | |  | |  | | Clearing Member ID | | | | | | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

Trading ID

##### STANDING INSTRUCTIONS

Account Statement requirement (will be charged extra)

Daily

Weekly

Fortnightly

Monthly

As per SEBI Regulation

No

Yes

Do you wish to receive dividend / interest directly into your bank account. Given below through ECS? (If not marked, the default option would be ‘Yes’)

No

Yes

[Automatic Credit]

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be ‘Yes’)

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’) I / We would like to share the email ID with the RTA

Yes No

Yes No

I / We would like to receive the Annual Report Physical / Electronic / Both Physical and Electronic (Tick the applicable box. If not marked the default option would be Physical)

Yes No

***Easi*** : To register for easi, please visit website[www.cdslindia.com.](http://www.cdslindia.com/) Easiallows a BOtoviewhis ISINbalances, transactions & value of portfolio online.

**Option for issuance of Delivery Instruction Slip (DIS) booklet alongwith account opening** (to be filled by persons seeking to open depository account who have given Power of Attorney to operate the depository account to a Stock Broker/Participant/Portfolio Manager for executing delivery instruction for setting stock exchange trades and do not intend to open a Basic Services Demat Account)

**Options for Issue of DIS booklet** (please tick any one)

my/our request at any later date.

**Option 1:** I/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/us on

**Option 2:** I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.

I / We have read the copy of Rights & Obligations and agree to abide by and bound by the Bye-Laws as are in force from time to time for such Accounts. I / We declare that the particulars given by me / us above are true to the best of my / our knowledge as on the date of making this application. I / We further agree that any false / misleading information given by me / us or suppression of any material information will render my

/ our account liable for termination and suitable action.

|  |  |  |
| --- | --- | --- |
|  | **Name of Holders** | **Signature(s) along with Seal** |
| **Sole / First Holder** |  | (8/19) |
| **Second Holder** |  | (1/4) |
| **Third Holder** |  | (1/4) |

##### FOR OFFICE USE ONLY

UCC Code allotted to the Client BO ID Allotted to the client

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
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|  |  |  |  |
| --- | --- | --- | --- |
|  | 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 M/s Deepak Gupta Broking Pvt. Ltd.

**Signature of the Authorised Signatory Date: Place:**

**Seal/Stamp of the stock broker**

## SCHEDULE OF CHARGES FOR TRADING ACCOUNT - NSE

##### BROKERAGE DETAILS

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Cash Segment** | | **F&O Future** | | **Currency Future** | | **F&O Option** | | | **Currency Option** | | **Remarks** |
| Min (Paise) A | Max (%) B | Min (Paise) | Max (%) | Min (Paise) | Max (%) | % on Premium | | Min Per Lot (Rs.) | % on Premium | Min Per Lot (Rs.) |
| **Trading 1st Leg** |  |  |  |  |  |  | Nifty |  |  |  |  |  |
| **Trading 2nd Leg** |  |  |  |  |  |  |
| Other Options |  |  |
| **Delivery Brokerage** |  |  |  |  |  |  |

**Note:**

1. Please note that the brokerage levied to your trading account shall be the higher of brokerage value as per the existing rates or Rs. 30/- per settlement / segment, subject to the maximum rates prescribed by the regulator(s) from time to time.
2. Brokerage is normally levied on % basis of transaction value as above. However, where the rate of scrip / futures contract is below specified rate where specified rate is calculated as A / B, then Minimum Brokerage in paise would be levied on Quantity instead of % rate i.e. If value based Brokerage is 0.25% with 5 paise as Minimum brokerage then specified rate would be (5 / 0.25) which is Rs. 20/-. Hence 5 paise would be levied as brokerage on per share basis where share price is less than Rs. 20/-.
3. In case of intra day transaction in Equity segment / Stock Futures / Index futures / Currency Futures / F&O Options / Currency options first leg rates as above shall be charged on the buy value or sell value depending upon whichever is higher and second leg rates shall be charged vice versa.
4. In case of option transactions (F&O and Currency) higher of percentage on premium value or Minimum per lot as indicated above would be levied subject to Maximum of Rs. 500/- per lot.
5. If option rates (F&O) not specified then default rates i.e. Higher of 0.50% on premium or Rs. 50/- per lot for Nifty and Higher of 0.50% on premium or Rs. 100/- per lot for other options would be levied.
6. If option rates (Currency) not specified then default rates i.e. Higher of 0.50% on premium OR Rs. 15/- per lot would be levied.
7. Other charges:
   1. Securities Transaction tax, SEBI Turnover fees, Transaction charges shall be levied as per the prevailing rates\*.
   2. Statutory levies including but not limited to Service Tax, Stamp duty, Education Cess shall be levied as per the prevailing rates.
   3. M/s Deepak Gupta reserves the right to levy additional charges including but not limited to the following:

|  |  |
| --- | --- |
| **Particulars** | **Amount** |
| Duplicate Contract Notes (CN) issued | Rs.10/- per CN\*\* |
| Duplicate Sauda Summary issued | Rs. 25/- for 1 month period\*\* |
| Rs. 50/- for 2 month period\*\* |
| Rs.100/- for 3 months and above\*\* |
| Bounced Cheque / Stop Payment of cheque | Rs. 50/- per instance/instrument\*\* |
| Charges for applying for certain corporate benefits on behalf of clients for shares lying in M/s Deepak Gupta (e.g. Right issue, buy back etc.) | Rs.11/- per ISIN |
| M/s Deepak Gupta Beneficiary to M/s Deepak Gupta Collateral A/c. | Rs.15/- per ISIN\*\* |
| M/s Deepak Gupta Collateral to M/s Deepak Gupta Ben A/c for Pay-in | Rs.15/- per ISIN\*\* |
| M/s Deepak Gupta Collateral A/c to Clients Ben A/c (towards Pay-out) | Rs.36/- per ISIN\*\* |
| M/s Deepak Gupta Beneficiary to Exchange Pay-in A/c. | Rs.11/- per ISIN\*\* |

\*For prevailing rates please refer Back office interface. - Login into Back Office>Utility Services> Client Summary Page. Home Page

\*\* M/s Deepak Gupta Broking Pvt. Ltd. reserves the right to revise the tariff structure from time to time at its sole discretion, under intimation to clients either by way of ordinary post or by an email or by notification on the back office interface.

* 1. KRAcharges as maybe applicable.

(9/19)

**Authorised Signature with company Seal**

## CHARGES FOR DEPOSITORY SERVICES

|  |  |  |  |
| --- | --- | --- | --- |
| **Sr No.** | **Services** | **Schemes (Please Select)** | |
|  |  | **Lifetime AMC** | **Investor** |
| 1. | One Time Upfront payment | 1250/- |  |
| 2. | Annual Maintenance Charges | Free for Lifetime | 300/- |
| 3. | Deliveries / Debit transaction   1. Within M/s Deepak Gupta 2. Outside M/s Deepak Gupta | Rs. 11/- per ISIN Rs. 21/- per ISIN | Rs. 11/- per ISIN Rs. 21/- per ISIN |
| 4. | Charges for Pledge creation / Pledge closure | Rs. 25/- per ISIN | Rs. 25/- per ISIN |
| 5. | Dematerialization | Rs. 10/- per certificate and Rs. 30/- per DRF request for Postage charges plus Rs. 30/- per rejection | |
| 6. | Rematerialization | Actual CDSL charges plus Rs. 30/- per request towards postal charges | |
| 7. | Additional DIS requisition | Rs. 25/- per booklet | Rs. 25/- per booklet |
| 8. | Additional Request for account statement or Holding with valuation, freeze & Unfreeze etc. | Rs. 25/- per Request | Rs. 25/- per Request |

##### Notes:

1. Stamp duty on the documents to be executed shall be payable of the rates applicable from time to time.
2. For availing ‘Easiest’ facility of CDSL, The charges as levied by CDSL would be collected from clients at actuals.
3. In case of every Corporate Accounts, CDSLAMC of Rs. 500/- shall be charged extra.
4. CDSL levies Rematerialization charges as higher of the following;
   1. Afee of Rs 10/- for every 100 securities or part thereof:

##### OR

* 1. A flat fee of Rs 10/- per certificate.

1. Services tax, Education cess & other statutory levies (if any) would be charged extra wherever applicable as per the prevailing rates.
2. Any Services which is not mentioned above will be charged separately as per the rates applicable from time to time.
3. M/s Deepak Gupta Broking Pvt. Ltd. reserves the right to revise the tariff structure from time to time at its sole discretion, under intimation to clients either by way of ordinary post or by an email or by SMS or by notification on the back office interface.

|  |  |  |
| --- | --- | --- |
|  | **Name of Holders** | **Signature(s)** |
| **Sole/First Holder** |  | (10/19) |
| **Second Holder** |  | (2/4) |
| **Third Holder** |  | (2/4) |

**BENEFICIAL OWNERSHIP DETERMINATION FORM**

SEBI vide circular no. CIR/MIRSD/2/2013 dated January 24, 2013 and CIR/ISD/AML/3/2010 dated December 31, 2010 has mandated all registered intermediaries to obtain, as part of their Client Due Diligence policy, sufficient information from their clients in order to identify and verify the identity of persons who are beneficial owner. *The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.*

##### The following approach shall be considered while determining the Beneficial Ownership:

1. **For clients other than individuals or trusts:**

Where the client is a person other than an individual or trust, viz., company, partnership or unincorporated association/body of individuals, the intermediary shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the following information:

* 1. The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest.

**Explanation:** Controlling ownership interest means ownership of/entitlement to:

1. More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
2. More than 15% of the capital or profits of the juridical person, where

the juridical person is a partnership; or

1. More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
   1. In cases where there exists doubt under clause A (a) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means.

**Explanation:** Control through other means can be exercised through voting rights, agreement, arrangements or in any other manner.

* 1. Where no natural person is identified under clauses A (a) or A (b) above, the identity of the relevant natural person who holds the position of senior managing official.

##### For client which is a trust:

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

##### Exemption in case of listed companies:

Where the client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies.

Accordingly the following information is required to be filled: (Use additional sheets if required).

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | F | I | R | S | T |  |  |  |  |  | M | I | D | D | L | E |  |  |  |  |  | L | A | S | T |  |  |

**1. CLIENT DETAILS**

Client Name Client Account No.

Name of the MD/CEO of Company

**2. BENEFICIAL OWNER'S PERSONAL INFORMATION**

Beneficial Owner Name

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Gender |  | Male |  | Female |  |  | Marital status | Single |  |  | Married | Date of birth | D | D | M | M |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Nationality |  |  |  |  |  |  |  | PAN |  |  |  |  |  |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Y | Y | Y | Y |

% of shares or capital or profits of company/partnership firm/unincorporated association or body of individual Address

F I R S T

M I D D L E

L A S T

City/Town

State Tel (Off) Mobile No. Email id

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | S | T | D |  | T | E | L |  | N | O |  |

Pin Code Country Tel (Res)

Fax

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | S | T | D |  | T | E | L |  | N | O |  |

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | S | T | D |  | F | A | X |  | N | O |  |

##### 3. BENEFICIAL OWNER'S EMPLOYMENT INFORMATION

Employer Name

F I R S T

M I D D L E

L A S T

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |  |  |  |  |

Type of Business Years with Employer Address

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |  |  |  |  |

City/Town State

Tel (Off) Mobile No.

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | S | T | D |  | T | E | L |  | N | O |  |

Pin Code Country Tel (Res)

Fax

Position

(11/19)

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | S | T | D |  | F | A | X |  | N | O |  |

##### Authorised Signature with company Seal

Recent Passport Size Photograph of Beneficial Owner Only

I/we certify that the information provided by me/us in this document is true and complete and I/we hereby agree to advise you immediately of any material change in the information.

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

Beneficial Owner/Authorised Person Signature

Date

Witness Name

F I R S T

M I D D L E

L A S T

Witness Signature 

Date

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

Branch Manager Name

F I R S T

M I D D L E

L A S T

Branch Manager Signature 

Date

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | S | T | D |  | T | E | L |  | N | O |  |

**Note:** Beneficial Owner is required to submit copy of PAN card and valid address proof alongwith the captioned form.

D D M M Y Y Y Y



##### DECLARATION BY HUF AND CONSENT LETTER

To,

##### M/s Deepak Gupta Broking Pvt. Ltd.

With regard to Beneficiary account no. (BO ID) And Trading Account maintained in the name & style " " with DP /Trading (M/s Deepak Gupta Broking Pvt. Ltd.)

We the following family members, being the co-parceners in the HUF account M/s do hereby give our consent that the said Karta, viz would operate above mentioned BO ID /Trading account as far as shares transactions of the HUF account is concerned.

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

**Details of our HUF and all its co-parceners are stated as mentioned below:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Sr.No | Name of Family Member | Date of Birth (DD MM YYYY) | Gender | Relationship with Karta | Signature |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

I, hereby state that details mentioned above are true and any change in them would be intimated to you in writing.

Title of HUF/ Karta

Signature of Karta (HUF Rubber stamp)



**DECLARATION BY PARTNERSHIP FIRM (TO BE OBTAINED ON FIRMS LETTER HEAD OR ATTESTED WITH FIRM’S SEAL)**

Date:

To, **M/s Deepak Gupta**

9,shopping centre, janta colony, jaipur-302004

Dear Sir,

This is with reference to the trading account opened with you in the name of a partnership firm and bearing the code . We the undersigned partners of the above mentioned firm hereby declare and authorize you to recognize the beneficiary account No. with depository ,which belongs to one of our partner for the purpose of completing the share transfer obligations pursuant to the trading participant in the name of partnership firm as per regulations and that 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 firm.

We further confirm that the authorised person can jointly / severally issue instruction to you as our broker for securities trades, fund, etc. and to do all such acts, deals and things as may be necessary for the purpose of operating this account.

Signature (Please sign with stamp of the partnership firm) We, (Please write name of the partners)

1.

2.

3.

Partners of the firm confirm that any securities due to the Firm's trading account with you, if transferred to the above mentioned Demat account, will constitute good delivery of the obligation. We further state that M/s Deepak Gupta will not be responsible, if the shares are transferred to the above- mentioned a/c.

If there is any change in the information given above, same shall be informed to M/s Deepak Gupta in writing. If any such information not communicate to M/s Deepak Gupta, that M/s Deepak Gupta will not be liable for losses suffered by the firm or any of the individual partners.

Signature 

Signature 

Signature 

1. Name 2. Name 3. Name

## POLICIES AND PROCEDURES OF M/S DEEPAK GUPTA BROKING PVT. LTD.

This document contains the policies and procedures of M/s Deepak Gupta Broking Pvt. Ltd. (M/s Deepak Gupta) for Cash and F&O segment as are presently in force in relation to :.

1. Refusal of orders for Penny/illiquid Stock
2. Applicable Brokerage limit
3. Setting up of exposure limits
4. Delayed payment charges
5. Squaring off of market positions, collaterals and other securities,
6. Market and internal shortages,
7. Refusal of Client requests for fresh positions
8. Suspension of Client's account and deregistering of the Client.
9. **Penny / illiquid securities:** M/s Deepak Gupta shall from time to time classify and publish on its website a list of securities which are illiquid as per the list of illiquid securities notified on a periodic basis by the Stock Exchanges concerned and / or based on such internal criteria as M/s Deepak Gupta may deem fit. M/s Deepak Gupta reserves the right to refuse execution of any transaction requests of the Client on such illiquid securities or to reduce the open market interests of the Client in such securities. M/s Deepak Gupta also reserves the right not to allow any trades or transactions in respect of certain securities or segments or orders/requests which may be below / above certain value / quantity as may be decided by M/s Deepak Gupta from time to time.

##### Applicable Brokerage:

* 1. M/s Deepak Gupta shall levy brokerage for the Client's transactions as per the brokerage slabs mutually agreed with the Client in writing in the Client Registration Form subject to the maximum rate prescribed by the Stock Exchanges / SEBI. The Client shall pay such fees, charges, and commissions as may be notified by M/s Deepak Gupta from time to time depending upon the services availed by the Client.
  2. Subject to such maximum prescribed rates, M/s Deepak Gupta may revise the rates from time to time after advance intimation to the Client of the revised rates and the date on and from which the revised rates shall take effect. However in case of any upward revision in brokerage, M/s Deepak Gupta shall give 15 days advanced intimation to the client. M/s Deepak Gupta may intimate the revised rates in writing addressed to the Client and by publishing the rate on its back-office website. The Client shall intimate its objection(s) if any to the revised brokerage in writing within 15 (fifteen) days of receipt of intimation of the change in brokerage. The Client shall be deemed to have agreed to the change in brokerage rates if he does not intimate any objection thereto within the time prescribed.
  3. Brokerage shall be paid in the manner intimated by M/s Deepak Gupta to the Client from time to time together with the service tax and statutory levies & duties as may be applicable from time to time on the same.
  4. Without prejudice to the absolute obligation of the Client to pay/reimburse monies to M/s Deepak Gupta as set-out above, M/s Deepak Gupta shall also be entitled to set-off and appropriate any monies that may be placed with or available with M/s Deepak Gupta for and/or on behalf of the Client towards any dues of the Client to M/s Deepak Gupta, arising howsoever.

##### Setting up of Exposure limits:

* 1. M/s Deepak Gupta shall be entitled to sanction trading limits to the Client based on the margin lying to the credit of the Client in the form of funds / securities / bank guarantees / fixed deposit receipts. M/s Deepak Gupta at its sole discretion may refuse to accept any security as collateral/margin . M/s Deepak Gupta shall from time to time publish a list of

securities which would be acceptable as collateral/margin. In setting exposure limits for the client, M/s Deepak Gupta shall be entitled to consider such factors as it may deem fit, including without limitation, the client's risk profile, risk appetite, loss bearing capacity, payment history, market volatility, risk management policy of M/s Deepak Gupta and such other factors or conditions which M/s Deepak Gupta may consider relevant for the purpose. M/s Deepak Gupta reserves liberty to vary the trading/exposure limits of the client depending upon its risk assessment from time to time having regard to the changes in any of the factors or market conditions bearing on the risk profile of the client.

* 1. Neither M/s Deepak Gupta, nor any affiliate of M/s Deepak Gupta nor their respective directors, officers, employees, agents shall in any circumstances be liable for any direct or indirect loss, cost, liability, expense or damage (including without limitation all legal fees and expenses) arising from any variation or reduction of exposure or turnover limits by M/s Deepak Gupta.

##### Delayed payment and consequences:

* 1. Notwithstanding anything contained in these presents and without prejudice to margin funding guidelines issued by SEBI, any amounts which are overdue from the Client in any trading segments shall be liable to delayed payment charges at the rate of 1.5% per month or part thereof or such other rate as may be determined and communicated by M/s Deepak Gupta. M/s Deepak Gupta is authorised to debit the delayed payment charges to the account of the Client at the end of each month/such other interval as may be decided by M/s Deepak Gupta.
  2. Without prejudice to M/s Deepak Gupta's other rights and to the extent permissible under Applicable Laws, M/s Deepak Gupta shall be entitled to liquidate / close out all or any of the Client's positions for nonpayment of margin 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.
  3. M/s Deepak Gupta shall be entitled to suspend or terminate the member client relationship without prior notice if the Client fails to fulfil his/its payment obligations hereunder, under the Rights and Obligations / Terms and Conditions mentioned in this document orotherwise due to M/s Deepak Gupta.
  4. M/s Deepak Gupta shall not be obliged to return any money, margin or otherwise to the Client until the Client has satisfactorily discharged all its payment obligations or other obligations as specified in Client Registration Document.

1. **M/s Deepak Gupta's right to square off:** Without prejudice to M/s Deepak Gupta's other rights (including the right to refer a matter to arbitration), in the event of the Client failing to maintain/supply applicable margin money required to sustain the outstanding market positions of the Client, M/s Deepak Gupta shall be entitled, at its option and liberty, to liquidate/close out all outstanding market positions or any part thereof such that the outstanding market positions are either zeroed out or reduced to an extent where available margin covers the market positions remaining after such square off. The Client understands and accepts that authority of M/s Deepak Gupta to square off outstanding market interests of the Client in the event of the Client failing to furnish margin money immediately on demand is carte blanche qua the entire outstanding position and the Client shall not, as a matter of right, be entitled to reduction of the outstanding positions in stages in order that positions to the extent of available margin are retained in the Client's account. M/s Deepak Gupta may also sell off all or any securities of the Client lying with M/s Deepak Gupta as collateral or otherwise, for any amounts due by the Client and adjust the

proceeds of such liquidation/close out against the client's liabilities/obligations to M/s Deepak Gupta. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client. Client shall keep and hold M/s Deepak Gupta indemnified and harmless from any loss arising out of such closing out/squaring off. Such liquidation or close out of positions shall apply to any segment in which the Client does business with M/s Deepak Gupta.

1. **Market and internal shortages:** The Client hereby agrees that if he/she/it has short-delivered any securities against his/her/its pay-in obligation towards a counter party who is a Client of M/s Deepak Gupta and delivery of the securities was also not effected through auction in the market (self-auction) for any reason including that self-auction is not permitted on the Exchange, then the contract shall be closed out and the close out price will be higher of:
2. The highest price for the securities prevailing in NSE or as the case may be BSE on any date commencing from the date of transaction till the day of auction relevant to the trade (auction day) or
3. The closing price for the securities on the auction day as increased by 3% of the closing price for F & O traded scrip or 7% for other scrip or such other % as may be revised by M/s Deepak Gupta from time to time. The amount so determined shall be debited to the account of the Client who defaulted to deliver.

##### Refusal of Client requests for trades/transactions:

* 1. M/s Deepak Gupta is entitled in its sole discretion to: Restrict or refuse execution of any orders for transaction in any scrip if transaction in such scrip is not in accordance with its internal due diligence policy and/or the directives and guidelines of the Exchanges and/or the Regulator issued from time to time and the client shall not call in question any decision of M/s Deepak Gupta to restrict or refuse transactions in such scrip on the ground that transactions in such scrip are not in violation of M/s Deepak Gupta's due diligence policy or the directives or guidelines of the Exchange and/or the Regulator or on the ground that the Client has not been put on notice about the scrip on which trade restrictions have been imposed by M/s Deepak Gupta.Impose trade restrictions on any scrip having regard in particular to any one or more of the following factors viz. (i) Market volatility, or (ii) Price sensitive announcements relating to any scrip,or (iii) Restrictions on trade volume imposed by the Exchange concerned or (iv) Political instability in the country or (v) External aggression or internal rebellion or (vi) Default by the Client to maintain applicable collateral/margin or to make payment of dues or such other factors influencing the securities market.
  2. Refuse to accept or act upon any request/order which in M/s Deepak Gupta’s sole opinion, amounts to manipulating trades or price manipulation or artificial trade(s) and/or fraudulent trade(s) or otherwise in breach of applicable laws and/or M/s Deepak Gupta's internal policies, without obligation to give the Client its reasons for doing so;
  3. Close out any transaction which may have been executed but which M/s Deepak Gupta was entitled to refuse to execute being contrary to its internal due diligence policies or by reason of any other factors including but not limited to trades being manipulative in nature;
  4. Disallow any trades or transactions in respect of certain securities or segments which may be below/above certain value/quantity as may be decided by M/s Deepak Gupta from time to time;
  5. M/s Deepak Gupta may at its sole discretion decline to carry out the instructions for any reason whatsoever

##### Suspension and deregistering of Client's Account:

* 1. If the Client apprehends that security of his account has been breached, the Client shall by writing to M/s Deepak Gupta , request suspension of transactions in the Client's account and M/s Deepak Gupta may on receipt of such request suspend transactions in the account. The Client shall ensure pay in of funds and securities in respect of all transactions pending to be settled on or before the respective settlement date(s) and shall compulsorily square off all open derivative positions, failing which M/s Deepak Gupta without further reference to the Client shall square off all open derivative positions prior to suspending the account. The account of the Client shall, if suspended, remain so suspended until such time as the Client's request in writing for reactivation of the account is not received by M/s Deepak Gupta. Provided always that M/s Deepak Gupta may, without prejudice to its other rights to effect recovery of its dues, sell all or any collateral and other securities of the Client lying with it in the Client's account towards full or part recovery of the dues owing by the Client without prior notice or consent of the Client.
  2. M/s Deepak Gupta may at any time, as it considers necessary in its sole discretion and without prior notice to the Client, prohibit, restrict or suspend the Client's access to or use of the Services provided to the Client under this document, whether in part or entirely.

##### M/s Deepak Gupta reserves the right to suspend and deregister the client without prior notice in the event of:

1. Any breach of the terms of this document.
2. In the event of infraction of any Rules, Bye-Laws, Regulations of SEBI or the Stock Exchange or of the provisions of any law for the time being in force governing dealings in the securities market without prior notice or on the directions of SEBIand/orthe Exchanges.
3. Upon the death, winding up, bankruptcy, liquidation or lack of legal capacity of the Client.
4. The Client being designated as a defaulter by any credit rating agency or any action or proceedings have been initiated by the relevant regulator/Authority including without limitation SEBI.
5. Bank account, demat account, securities account of the client being frozen or attached by any court of law or any other competent authority for whatever reason.
6. The Client having misrepresented facts at the time of registration or at the time of giving instructions or otherwise.
7. Any proceedings or investigations that involve the Client or his/its properties having been initiated (or is/are ongoing).
8. The Client fails to fulfil his/its payment obligations under this document or otherwise due to M/s Deepak Gupta or
9. If the Client migrates to a jurisdiction which prohibits trading in Indian Securities or otherwise subjects M/s Deepak Gupta or any of its employees to any licensing or registration requirements.
10. The prevailing policies and Procedures of M/s Deepak Gupta in respect of the above said matters shall remain published on its website as may be notified to the Client from time to time and the Client agrees that it is Client's responsibility to access, understand and abide by such policies at all times during the subsistence of this agreement.

##### I agree and understand that M/s Deepak Gupta may from time to time at its sole discretion amend or modify the policies and procedures under intimation to me / us.

I/we have read & understood the above mentioned policies and procedures.

(12/19)

##### Authorised Signature with company Seal

**ACKNOWLEDGEMENT**

I/we hereby confirm and acknowledge the receipt of the following documents:

##### Rights and Obligations

Document stating the Rights & Obligations of stock broker/trading member, sub-broker/Authorised Person and client for trading on exchange (including additional rights & obligations in case of internet/wireless technology based trading).

##### Risk Disclosure Document (RDD)

Document detailing risks associated with dealing in the securities market.

##### Guidance Note

Document detailing do’s and don’ts for trading on exchange, for the education of the investors.

##### Rights and Obligations of Beneficial Owners and Depository Participants:

Document stating the Rights & Obligations of Beneficial Owners and Depository Participants.

(13/19)

##### Authorised Signature with company Seal

**VOLUNTARY DOCUMENTS**

## VOLUNTARY TERMS AND CONDITIONS

Whereas the client intends to open securities trading accounts with M/s Deepak Gupta Broking Pvt. Ltd., (hereinafter referred as M/s Deepak Gupta) for the purpose of trading in Capital Market Segement , Futures & Options and Currency Derivative Segments of the National Stock Exchange of India Ltd., the Bombay Stock Exchange Ltd., and the MCX Stock Exchange Ltd. and Mutual Fund transactions Facilities offered by SEBI recognized Stock Exchange and whereas for the purpose of more fully and conveniently availing of the services agreed to be provided by M/s Deepak Gupta and also the additional services that may be made available by M/s Deepak Gupta from time to time, the Client, on its own free will and volition, agrees to accept and be bound by the following terms and conditions. The Client understands that these terms and conditions are voluntary i.e, non-mandatory in nature but on their acceptance, these shall constitute the contract between the parties and bind them fully and be enforceable by each party against the other.

1. **Authorization to debit additional charges with regard to Trading and Demat Account:** Without prejudice to the other rights and obligations of the parties, the client understands and agrees that M/s Deepak Gupta may levy additional charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account for any service rendered by M/s Deepak Gupta and as may be required by the Client, and recover from the Client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients ledger account with M/s Deepak Gupta Broking.
2. **Payment by cheque:** Where payment by the client towards margin money is made through cheque / pay order / demand draft issued in favor of M/s Deepak Gupta, trades may be executed at the discretion of M/s Deepak Gupta only upon realization of the funds of the said cheque/pay order/demand draft.l
3. **Lien:** All securities, funds and/or properties of the Client as may be permitted by the Exchange(s) from time to time to be placed with M/s Deepak Gupta shall be subject to a lien for the payments or fulfillment of all undischarged liabilities and obligations of the Client in relation to its transactions or owing to any of the group companies of M/s Deepak Gupta. M/s Deepak Gupta shall be entitled to withhold such securities, funds and/or property of the Client as security towards any such un- discharged liabilities or obligation of the Client and to sell and/or appropriate to itself all such securities, funds or properties at its sole discretion and at any point of time.
4. **Authorization for Inter segment fund balance transfer and stock transfers:** The client hereby authorizes M/s Deepak Gupta to transfer its debit/credit balances in the ledger account arising during the course of trades in any segment to its ledger account in any other segment or to transfer any stock purchased/lying in its account in any segment to its account in any other segment as often as may be required. The transfers may be completed by passing journal entries in the books of M/s Deepak Gupta.
5. **Disclaimer:** The Client understands and agrees that neither M/s Deepak Gupta nor any other party disseminating any market data, message or information through the Website of M/s Deepak Gupta or in any other media shall be liable for:
6. Any inaccuracy, error, omission or delay in the transmission or delivery of any such data, information or message, or
7. **Any loss or damage arising from or occasioned by** (i) Any such inaccuracy, error, delay or omission, (ii) Non-performance, or (iii) Interruption in making available any such data, information or message, due to either any act or omission by M/s Deepak Gupta or any

disseminating party or to any "force majeure" (e.g. flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labour dispute/unrest, accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of M/s Deepak Gupta or any disseminating party.

1. **Manner and Mode of placing orders/instructions:** The Client may communicate orders and other instructions to M/s Deepak Gupta or the sub-broker/authorised person as the case may be over phone at the designated contact telephone number, or in writing, or through designated email, or by personally visiting the designated office. Client may use any one or more of these means as may be permitted by the SEBI / Exchanges from time to time for placing orders.
2. **Non-execution/delay/cancellation of Orders:** The client hereby agrees that M/s Deepak Gupta or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the online as well as offline trading services, disruptions or congestion of communication net works, hardware or software problems, or failure of the electronic trading system generally in any manner due to one or the other reasons beyond the control of M/s Deepak Gupta or the Exchange.
3. **Client not to act on representations of agents, employees:** Client is aware that M/s Deepak Gupta has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of M/s Deepak Gupta.
4. **Recording of Conversation:** The client is aware and agrees that M/s Deepak Gupta may tape record the conversation between the client/client's representative and M/s Deepak Gupta, whether over the telephone or in person. M/s Deepak Gupta may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversation or transcript thereof or both as valid evidence of the content of the conversation so recorded.
5. **Confidentiality of Client Details:** M/s Deepak Gupta may disclose the client information to any person /entity as required under the law or to any broker's Association or organisations in case of dispute in order to take informed decision. The Client hereby agrees and give its consents for the disclosure by M/s Deepak Gupta to any person or entity including but not limited to any independent third parties or any entities of M/s Deepak Gupta Group, whether within or outside India, of any information and data relating to Client or relating to Client's trading account with M/s Deepak Gupta for the purposes of or in connection with, any present or proposed initiatives, including but not limited to any marketing or cross sell initiatives, business proposals, activities, facilities or services availed of or to be availed, by Client in future.
6. **Disclosure as to Proprietary Trades by M/s Deepak Gupta:** M/s Deepak Gupta may carry out proprietary trades in addition to trades on behalf of its Clients.
7. **Severance:** In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.
8. **No Waiver:** No forbearance, relaxation or inaction by any party to

require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver of any rights, unless the waiver is specifically agreed in writing.

1. **Notices:** All notices or communications issued by M/s Deepak Gupta shall be served on the Client in any one or more or all of the following ways at the ordinary business address and/or ordinary place of residence and/or last known address of the client:
   1. (a) By ordinary post or (b) By registered post (c) Under certificate of posting or (d) By express delivery post or (e)by SMS on registered mobile or by telephonic call or (f) By affixing it on the door at the last known business or residential address or (g) By oral communication to the party or on the last known telephone number or on the recording machine of such number or (h) By advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated or (i) By publishing it in the website of M/s Deepak Gupta wherein secured log-id and password to Client is provided or (j) By a notice posted on the notice board of the Exchange if no address be known or (k) By electronic mail or fax or (l) By hand delivery or By Courier or any other mode as may be allowed for communication.
   2. Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between M/s Deepak Gupta and the Client may be made orally.

##### Electronic Contract Note (ECN):

* 1. Client agree to receive contract notes in Electronic/Digital Form (ECN) authenticated by means of a digital signature in lieu of Physical Contract notes through e-mail by authorizing M/s Deepak Gupta in this connection and providing the e-mail address(es) at which the Client wishes the ECN to be sent.
  2. The Client shall access and verify the ECN and all information contained therein, In case of discrepancy the Client, shall inform M/s Deepak Gupta either in writing or via E-mail within 7 working days of the receipt of the same. M/s Deepak Gupta shall also publish the Contract Note on the Web site [www.M/s Deepak Guptabroking.com](http://www.angelbroking.com/) or on any other designated location specified by M/s Deepak Gupta from time to time. The Client will be issued a login and password by which the Client can login in to his account and view/save/print the ECN. Should the Client experience any difficulty in opening the ECN, M/s Deepak Gupta may, on advice by the Client, make the Contract Note available by any other means (e-mail, electronic mail attachment, or in the form of an available download from the back office web site or by delivery of a hard copy). Client's failure to advice M/s Deepak Gupta of such a difficulty shall amount to valid delivery and viewing of the document by the Client.

1. **Electronic Transmission of other Documents:** The Client who have opted for ECN agrees that M/s Deepak Gupta may transmit to the Client any statements, documents or intimation including, but not limited to, Margin Statement, Statements of Funds and Securities, margin and maintenance calls & other notices/communications in electronic mode either at the e-mail ID designated for delivery of ECN or to the mobile number of the Client or both and, in case of non receipt of bounced mail/non delivery of SMS notification, M/s Deepak Gupta shall be deemed to have fulfilled his obligation to deliver to the Client such documents. Discrepancies if any in documents

should be brought to the notice of M/s Deepak Gupta within seven working days from issuance failing which the documents shall be deemed to be true and correct record of transactions stated therein.

1. **Electronic Payment Gateway for Net Banking Services:** M/s Deepak Gupta may provide on its internet trading website, without additional cost to the Client, access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with M/s Deepak Gupta. Client understands that M/s Deepak Gupta is only providing access to the electronic fund transfer facility provided by the banker of the Client through M/s Deepak Gupta's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising thereout. Client undertakes not to make M/s Deepak Gupta a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that M/s Deepak Gupta's liability shall at all time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank.

##### Internet / Wireless Technology based Trading facility:

* 1. M/s Deepak Gupta offers Internet and mobile Trading facility for transaction in securities on the concerned Exchanges including facilities for online application of IPO / FPO / NFO / Bond issues or any other issues of securities or services to apply / purchase / redeem / sale

/ buyback or otherwise deal in the units of Mutual Funds (hereinafter referred to as “the Internet/wireless Trading system”) through Exchange approved software. The Client can route its orders to M/s Deepak Gupta over the internet / mobile / laptop with data card or any other devices which use internet protocol for purchasing, selling and dealing in securities. The Client may avail of such Trading facility provided by M/s Deepak Gupta by complying with the formalities prescribed therefore.

* 1. Non-usage of Internet/Wireless Trading Facility: If the Client does not use the Internet/Wireless Trading Facility for a continuous period of 3 months or such other period as M/s Deepak Gupta may notify, the facility may be deactivated without notice and the Client shall comply with the prescribed formalities for reactivating the facility. Trades can, however, be executed at all time by placing orders off-line with the concerned branch of M/s Deepak Gupta.
  2. The client understands and agrees that M/s Deepak Gupta has different product of the Internet Trading /Wireless Trading software which have been approved by the Exchanges and the client shall be allotted such product as may be chosen by him. The client also understands and agrees that depending on the trading activity of the client, M/s Deepak Gupta shall have the exclusive right and liberty to change the product version allotted to the client and allot a different product version of the Internet Trading/Wireless Trading facility.
  3. Orders of Client subject to review by M/s Deepak Gupta: The Client agrees that the M/s Deepak Gupta may, on being suspicious of any of the transactions, review any order placed by a Client, which may cause delays in the processing of the Client's order or may result in rejection of such order.”

1. **Extra Ordinary Events and termination/suspension of trading facility:** M/s Deepak Gupta will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure,

equipment or software malfunction, lack of connectivity, congestion or disruption of communication net-work or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond M/s Deepak Gupta's control resulting in non- execution, partial or incomplete execution of orders and the resulting financial loss, if any M/s Deepak Gupta may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.

1. **Amendments to the terms and conditions:** M/s Deepak Gupta reserves the right to amend the terms and conditions herein contained by adding, deleting, modifying or varying the provisions thereof by giving 15 days notice to the Client. In the event where the client has not objected to revised terms and conditions within 15 days of receiving the notification, the same shall be binding on the client.

I/We hereby confirm to have read and understood the terms and conditions as mentioned above and agree to abide by the same.

##### For M/s Deepak Gupta

**Authorised Signatory:**

(14/19)

##### Authorised Signature with company Seal

**RUNNING ACCOUNT AUTHORISATION (VOLUNTARY)**

To, Date:

##### M/s Deepak Gupta Broking Pvt. Ltd.

9,shopping centre, janta colony, jaipur-302004

Dear Sir,

##### Ref.: Authorization to maintain running accounts for transactions and retention of securities and funds for my client code

I request you to settle my account on a monthly/ quarterly basis. (Strike off whichever is not applicable).

I hereby authorize you to maintain running account(s) for my transactions executed through M/s Deepak Gupta on any of the stock exchanges/segment for both securities and funds with you. I also request you to consider the balances in my/our running fund/securities account with you for the purpose of margins/ all trade related liabilities due to you. I further authorized you to retain securities and funds as may be permitted by Stock Exchanges / SEBI from time to time while settling my account. I also authorize M/s Deepak Gupta to consider the funds/securities so retained by M/s Deepak Gupta towards collateral margin and for allowing enhanced gross exposure to me. I agree that M/s Deepak Gupta shall not be liable for any claim for loss or loss of profit, or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such securities/funds.

Additionally the funds and securities due to me may be released in the interim, on my specific request. I understand and agree that no interest will be payable to me on the amount of securities and funds as retained with you. The authorization may be revoked by me at any time by giving prior written intimation to M/s Deepak Gupta.

Yours faithfully,

Client Name:

(15/19)

##### Authorised Signature with company Seal

**POWER OF ATTORNEY (VOLUNTARY)**

(To be executed on stamp paper of Rs. 50/-)  TO ALL TO WHOM THESE PRESENTS SHALL COME We M/s , a sole proprietary concern with Proprietor Mr./Ms. and having place of business and or residing at

(3/4)

(hereinafter referred to as “the client”), send greetings; **(or)** M/s , a HUF with Mr./Ms as its Karta and having its office at

(hereinafter referred to as “the client”) send greetings; **(or)** M/s , a partnership firm with Mr./Mrs./Ms ; Mr./Mrs./Ms and Mr./Mrs./Ms as its partners (names of all partners to be given) having its office at (hereinafter referred to as “the client”) send greetings; **(or)** M/s , a public/private limited company incorporated under the Companies Act, 1956 and having its registered office at

 and corporate office at (hereinafter referred to as “the client”) send greetings

(3/4)

Whereas I/we hold a Beneficiary account no. (BO-ID) with Central Depository Services (India) Limited, with M/s Deepak Gupta Broking Pvt. Ltd. (a Depository Participant registered with CDSL) bearing DP-ID .

And Whereas I/we are registered as a client with M/s Deepak Gupta Broking Pvt. Ltd. (trading member of Bombay Stock Exchange Ltd, MCX Stock Exchange Ltd. and National Stock Exchange of India Ltd) for dealing in the securities market.

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I/We THE ABOVE NAMED DO HEREBY NOMINATE,

CONSTITUTE/ AND APPOINT M/s M/s Deepak Gupta Broking Pvt. Ltd., as my/our true and lawful attorney (hereinafter referred to as the attorney) for me/us and on my/our behalf and in my/our name to do the following:

1. To debit my/our aforesaid beneficiary account and to transfer securities there-out for the purpose of delivering / pledging the same to the clearing house of the recognized stock exchange in any segment to discharge my/our settlement obligations in respect of securities sold by me/us or for the purpose of providing margins in respect of the trading positions taken up by me/us.

(16/19)

1. To apply for and subscribe to, on my/our instructions, Initial Public Offerings made by any company registered under the provisions of the Companies Act, 1956 through online/offline bidding platform and to perform, do, undertake, discharge all incidental and ancillary acts, deeds, matters, things, functions and obligations in connection therewith.
2. To apply, on my/our instructions, for Mutual Funds of various asset management companies through online / offline platform and to perform, do, undertake, discharge all incidental and ancillary acts, deeds, matters, things, functions and obligations in connection therewith.
3. I/we authorize my/our said Attorney to send me/us consolidated summary of scrip wise buy and sell positions, subscriptions to IPOs and Mutual Funds by way of short messaging services or e-mails on a daily basis.
4. The said Attorney shall return to me/us the Securities that may have been received by it erroneously or that it was not entitled to receive.
5. I/we do hereby ratify and confirm and agree to ratify and confirm whatsoever my/our said Attorney shall have lawfully done or may lawfully do or cause to be done by virtue of or in exercise of any power hereby granted, given authorised or implied or intended to be so granted, given or authorised and also all lawful acts, deeds, matters and things done by the said Attorney of the nature mentioned above or incidental or relating thereto or arising there-from or deemed by my/our Attorney to be requisite or expedient to be done or performed in exercise of any power herein.
6. I/we further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue to be good, valid and effective until revoked by me/us in writing given to my Attorney and that the Power of Attorney shall not be affected by lapse of time. This Power of Attorney shall continue in full force and effect until my/our Attorney shall receive written notice of revocation thereof, signed by me/us; or, in the event of termination thereof by my/our death, until my/our Attorney shall have received actual notice thereof, and such revocation or termination shall in no way affect the validity of this Power of Attorney with reference to any transactions initiated by my/our Attorney, prior to the actual receipt by the Attorney of the notice of such revocation or termination, as above provided.. Further, without prejudice to the generality of the aforesaid, such revocation of this Power of Attorney, in so far as any transaction, settlement of which is pending on the date of receipt of notice of revocation by my/our Attorney is concerned, shall become effective only after all pending obligations in respect of such transactions are settled on the respective settlement dates and all dues owing by me/us in connection therewith have been fully paid by me/us to the Stock Broker. Further, such revocation of the power and authority given to my/our Attorney hereby shall in no way affect the validity of any acts, deeds or things done or action taken by my/our Attorney for discharging any of my/our settlement obligations in respect of any transactions settlement of which is pending on the date of receipt of the notice of revocation by the Attorney.
7. As per SEBI Circular Dated 23rd August 2010, the list of demat A/C’s where securities can move is listed as per schedule 1



(17/19)

Sole / First Holder



(4/4)

Second Holder



(4/4)

Third Holder

##### Signature of Co-parceners:

**Name:**

**Signature:**

**Name:**

**Signature:**

**Name:**

**Signature:**

**Name:**

**Signature:**

**Signature of Witness:**

##### Name: Address:

**I / We accept (For M/s Deepak Gupta Broking Pvt. Ltd.)**

##### Authorised Signatory: Place:

**Date:**

##### DECLARATION ON MOBILE NUMBER / EMAIL ID (VOLUNTARY)

To, M/s Deepak Gupta Broking Private Limited G-1, Ackruti Trade Center, MIDC,

Road No.7, Andheri (E), Mumbai - 400 093. **Subject: Mobile Number and Email ID Updation** Dear Sir / Madam,

With reference to Exchange circulars to update mobile number / email ID before trading in Stock Market, I/we hereby declare that: I/We do not have Mobile number

I/We do not have Email Id I/We have Mobile Number / Email ID however does not wish to update and avail the facility.

Client Code

Client Name:

(18/19)

**Authorised Signature with company Seal**

##### MUTUAL FUND SERVICE SYSTEM FACILITY / BSE STAR MF (VOLUNTARY)

To,

**M/s Deepak Gupta Broking Pvt. Ltd.** G-1, Ackruti Trade Centre, MIDC, Road No. 7, Marol,

Andheri (E), Mumbai - 400 093.

##### Sub: Client/Investor consent on terms and conditions for dealing in Mutual Fund Service System (MFSS) facility / BSE StAR MF or mutual fund facility offered by SEBI recognized Stock Exchange from time to time (hereinafter jointly referred to “Mutual Fund Transaction Facilities”)

Dear Sir,

I/We am/are registered as your client and have executed Know Your Form and certain other documents for the purpose of trading in securities market on the recognized Stock Exchange (herein after referred as “Exchange”).

I/We am/are interested in availing the trading facility of the Exchanges for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the SEBI recognized Stock Exchanges.

For the purpose of availing Mutual Fund Transaction Facilities, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of Mutual fund transaction facilities and I/We further confirm that the details contained in the same remain unchanged as on date.

I/We am/are willing to abide by the terms and conditions as mentioned in the circulars as may be specified by the Exchanges from time to time in this regard.

I/We shall also ensure 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, addendum issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We confirm to have read & understood the terms & conditions for using Mutual Fund transaction facility as stated in KYC handout (customer copy). I/we therefore request you to register me/us as your client for participating in Mutual Fund Transaction Facilities.

I have read and understood the above and I agree to abide by the same.

(19/19)

**Authorised Signature with company Seal**

M/s Deepak Gupta’s Online Value Added Services

ECN

* Electronic Contract Notes - Obtain your bills / Contracts on your registered Email ID
* Easy Access - Contract Notes available at the click of a button
* Time Saver
* Authenticity & Security of your trades done

#### Pay-Out Facility

* n-line Payouts instant receipt in your account
* 24 hours processing time
* ticity & Security of Funds

#### DP E-Statements

* Obtain your Holding / DP Statements on your registered Email ID
* Quick Delivery
* Authenticity & Security

On-Line Funds Pay-In

* Hassle free On-Line Payment
* Facilitates Ease in Transfer of Funds
* 41 Banks for On-Line Funds Pay-In
* Time Saver