

No.:

CLIENT REGISTRATION FORM

Individual

Join us for a Convenient
& Valuable Investing Experience!

CDSL E-Sign

Part A - VERSION 22.3

Sharekhan

by BNP PARIBAS

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM**A. IMPORTANT POINTS:**

- 1 Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.
12. Fields marked with '*' are mandatory fields.
13. Tick '✓' wherever applicable.
14. Please fill all dates in DD-MM-YYYY format.
15. KYC number of applicant is mandatory for updation of KYC details.
16. For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
17. Clarification / Guidelines on filling 'Personal Details' section
 - 1 Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
 - 2 Either father's name or spouse's name is to be mandatorily furnished.

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

1. Aadhaar Card/Passport/ Voter ID card/ Driving license.
If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions.
4. e-KYC service launched by UIDAI shall also be accepted as a valid process for KYC verification. The information containing the relevant client details and photograph made available from UIDAI as a result of e-KYC process shall be treated as a valid proof of Identity.

1. INSTRUCTIONS / CHECK LIST

Additional documents in case of trading in derivatives segment (illustrative list):

1. Copy of ITR Acknowledgement	4. Net worth Certificate - CA Certified	7. Demat Account Holding Statement along with valuation
2. Copy of Annual Accounts	5. Salary Slip	8. *Any other relevant documents substantiating
3. Copy of Form 16 in case of salary income	6. Bank Statement (For last 6 months)	ownership of Assets

* Relevant documents as per risk management policy of the stock broker to be provided by the client from time to time

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

Officially Valid Document - *Passport / Voters Identity Card / Aadhaar Card (Aadhaar Number to be masked by the client)/ Driving License/NREGA Job Card/National Population Register Letter.

If the above officially valid documents furnished by the client does not contain updated address, the following documents shall be deemed PoA. The client shall submit updated officially valid document with current address within a period of three months of submitting the below documents to us:

1. Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
2. Property or Municipal Tax receipt.
3. Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
4. Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.

In case the officially valid document presented by a foreign national does not contain the details of address, in such case the documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India shall be accepted as proof of address.

5. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
6. Aadhaar Letter issued by UIDAI shall be admissible as Proof of address in addition to Proof of Identity.
7. e-KYC service launched by UIDAI shall also be accepted as a valid process for KYC verification. The information containing the relevant client details and photograph made available from UIDAI as a result of e-KYC process shall be treated as a valid proof of address.

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
 2. Investors residing in the state of Sikkim.
 3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
 4. SIP of Mutual Funds upto Rs. 50,000/- p.a.
 5. In case of institutional clients, namely, FPIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.
- E. List of people authorised to attest the documents: Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative bank or Multinational Bank (Name, Designation & Seal should be affixed on the copy)**

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Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, DEPOSITORY & EXCHANGES			
1.	Account Opening Form-Checklist & Instructions	The Document provides Instructions & Checklist relevant to opening of trading & demat account	1
2.	Most Important Terms & Conditions (MITC)	The document contains the standard Most Important Terms and Conditions as per SEBI circular.	4
3.	Know Your Client (KYC) Application Form	This Document captures the basic information about the client/ Joint Holders for Trading & Demat Account respectively	5-6
4.	Account Opening Form for Trading & Depository	This Document captures the additional information about the client relevant for opening Trading & Demat Account	7-12
5.	Nomination Form	This Document captures the details of nominee(s) w.r.t. the trading and/or demat account/Mutual Fund and the details of guardian in case of minor nominee(s) Annexure A: Format for providing Nomination, Annexure B : Declaration for opting-out of nomination	13-14
6.	Currency Underlying Exposure Declaration Letter to Trade Currency Derivatives	This Document enables you to trade in Currency Derivatives segment	16
7.	Tariff Sheet	This Document provides schedule of fee applicable for Depository Account	17
8.	Other Documents	This document contain Policy & Procedure document	A-1

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

9.	Mandate for maintaining the account on running account basis	This Document enables you to maintain your account on a running account basis.	15
10.	Profile Sheet	This Document enables us to know your interest in the stock market so that we can serve you better	PART-B
11.	Demat Debit and Pledge Instruction' (DDPI)	This Document confers specific rights on Sharekhan for accessing your Demat account for the limited purpose of transferring the shares for meeting margin pledge/repledge/pay-in obligations for settlement of trades executed by you, Mutual fund transactions executed on Exchange platform & for Tendering shares in open offers through Stock Exchanges	A-2

SHAREKHAN LIMITED

Registered Office Address : The Ruby, 18th Floor, 29 Senapati Bapat Marg, Dadar (West), Mumbai – 400 028, Maharashtra, INDIA
Tel : 022 - 6750 2000 Fax : 022-24327343 | Website: www.sharekhan.com

Correspondence Office Address : 10th Floor, Gigaplex Bldg. No. 9, Raheja Mindspace, Airoli Knowledge Park Rd, MSEB Staff Colony, TTC Industrial Area, Airoli, Navi Mumbai, Maharashtra 400708, India. | Tel: 022 - 61169000/61150000 | Fax: 022 - 61169699 | Website: www.sharekhan.com

Processing Office Address: 3rd Floor, Bay City Centre, 309, Ponnammallee High Road, Above Maruti Kapico Show Room, Near Pachiyappas College, Chennai- 600010 | Tel : 044-49105050 / 28362900 / 28363160 / 49035050 / 49035051 | Website: www.sharekhan.com

For any grievance/dispute, please contact Sharekhan Ltd. at the above mentioned Registered / Correspondence office address or e-mail at myaccount@sharekhan.com/ igc@sharekhan.com or contact at 022 - 61151111 / 022 - 69920600

Compliance Officer: Ms. Binkle R. Oza, Tel. No : 022 - 62263303

E-mail ID: complianceofficer@sharekhan.com

CEO Name: Mr. Jaideep Arora, Tel No. : 022 - 6750 2000, E-mail ID: ceo@sharekhan.com

In case you are not satisfied with the response, please contact the concerned Exchange/regulators as provided below:

- (1) **NSE** - ignse@nse.co.in or contact at 1800 2660 058
- (2) **BSE** - dis@bseindia.com or contact at 022-22728517
- (3) **NSDL** - relations@nsdl.co.in or contact at 022 - 2499 4200
- (4) **CDSL** - complaints@cdslindia.com or contact at 1800 225 533
- (5) **MCX** - grievance@mcxindia.com or contact at 022 - 6649 4070
- (6) **SEBI Scores** - https://scores.sebi.gov.in or contact at 18002667575 / 1800227575
- (7) **Smart ODR** - 8105148710

SEBI Regn. Nos.: BSE / NSE / (CASH / F&O / CD) / MCX - Commodity: INZ000171337; DP: NSDL/CDSL-IN-DP-365-2018; CIN No. U99999MH1995PLC087498; PMS:INP000005786; RA:INH000006183 Mutual Fund: ARN 20669, (date of initial registration: 03/07/2004, and valid till 02/07/2026); IRDAI Registered Corporate Agent (Composite) License No. CA0950, valid till June 13, 2027.

IMPORTANT NOTE

-  Signature of First Holder/Client/Applicant - (8)
  Signature of Second Holder - (2)
  Signature of Third Holder - (2)
-  Signature of Witness

List of Abbreviations

Sr. No.	Short form	Expansion
1	AMC	Asset Management Company
2	AMFI	Association of Mutual Funds in India
3	AML	Anti Money Laundering
4	AP	Authorised Person
5	BSE	Bombay Stock Exchange Limited
6	CBDT	Central Board of Direct Taxes
7	CDSL	Central Depository Services Limited
8	CIN	Corporate Identification Number or Company Identification Number
9	CRS	Common Reporting Standard
10	DHC	Delivery Handling Charges
11	DIN	Director Identification Number
12	DIS	Delivery Instruction Slip
13	F&O	Futures and Options
14	FATCA	Foreign Account Tax Compliance Act
15	FEMA	Foreign Exchange Management Act
16	EMF	Exchange Margin Funding
17	IFSC	Indian Financial System Code
18	IPV	In-person Verification
19	IRDA	Insurance Regulatory Development Authority
20	ITR	Income Tax Return
21	KRA	KYC Registration Agency
22	KYC	Know Your Client / Know Your Customer
23	MF	Mutual Fund
24	MICR	Magnetic Ink Character Recognition
25	MSEI	Metropolitan Share Exchange of India Limited
26	NRI	Non-Resident Indian
27	NSDL	National Securities Depository Limited
28	NSE	National Stock Exchange of India Limited
29	PAN	Permanent Account Number
30	PEP	Politically Exposed Person
31	POA	Proof of Address
32	POI	Proof of Identity
33	RBI	Reserve Bank of India
34	RDD	Risk Disclosure Document
35	RTA	Registrar and Transfer Agent
36	SEBI	Securities and Exchange Board of India
37	SIP	Systematic Investment Plan
38	SLB	Stock Lending and Borrowing
39	UID	Unique Identification Number
40	UIDAI	Unique Identification Authority of India
41	UPI	Unified Payments Interface
42	VPA	Virtual Payment Address
43	DDPI	Demat Debit and Pledge Instruction

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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

Declaration: I/We hereby confirm that i/we have read and understood the above mentioned contents of the standard 'Most Important Terms and Conditions'.

Signature of Client



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	FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Additional Details, if applicable. (Please tick one or more as applicable)	<input type="checkbox"/> Politically Exposed Person(PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Bureaucrat <input type="checkbox"/> Civil Servant <input type="checkbox"/> Politician <input type="checkbox"/> Current/Former MP, MLA or MLC <input type="checkbox"/> Current/Former Head of State <input type="checkbox"/> Not PEP / Related to PEP	<input type="checkbox"/> Politically Exposed Person(PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Bureaucrat <input type="checkbox"/> Civil Servant <input type="checkbox"/> Politician <input type="checkbox"/> Current/Former MP, MLA or MLC <input type="checkbox"/> Current/Former Head of State <input type="checkbox"/> Not PEP / Related to PEP	<input type="checkbox"/> Politically Exposed Person(PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Bureaucrat <input type="checkbox"/> Civil Servant <input type="checkbox"/> Politician <input type="checkbox"/> Current/Former MP, MLA or MLC <input type="checkbox"/> Current/Former Head of State <input type="checkbox"/> Not PEP / Related to PEP
Mobile Number Declaration (*Family to strictly include spouse, dependent children and dependent parents only. Kindly tick relevant option)	I hereby declare that the Mobile number as per CKYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family*(specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No	I hereby declare that the Mobile number as per CKYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family*(specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No	I hereby declare that the Mobile number as per CKYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family*(specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No
Email ID Declaration (*Family to strictly include spouse, dependent children and dependent parents only. Kindly tick relevant option)	I hereby declare that the Email ID as per CKYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family*(specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents	I hereby declare that the Email ID as per CKYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family*(specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents	I hereby declare that the Email ID as per CKYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family*(specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents
Nature of Business	_____	_____	_____
Sources of Wealth / Income	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Others (Please specify) _____	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Others (Please specify) _____	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Others (Please specify) _____

For First Holder Only:

Details in case of Employment/Business/Profession:
 Name of Employer/Establishment _____
 Address : _____ Country _____

Designation: Chairman Director CEO CFO COO Others _____
UBO of Listed company: Yes No **If yes, name of the listed company** _____

For Business / Professional Categories (mandatory wherever applicable):
 Nature / Type _____ Registration No. _____ Registration Authority _____
GST. No. (If Any) _____ **IEC Code (In case of Exporter / Importer)** _____

E. DEALINGS THROUGH AUTHORISED PERSON & OTHER STOCK BROKERS No Yes (If yes, please mention details below)

Name of Authorised Person : _____
 Registration No: NSE [] [] [] [] [] [] [] [] [] [] BSE [] [] [] [] [] [] [] [] [] []
 R.O. Address: _____ Tel.: _____ Fax: _____ Website: _____
 Whether registered with a ny other Stock Broker / Authorised Person (If registered with multiple Stock Broker, provide all details)
 Name of Stock Broker: _____ Name of Authorised Person: _____
 Name of Exchange: _____ Client Code No.: _____

Details of disputes / dues pending from / to such Stock Broker / Authorised Person:

Whether Employee/Agent/ Approved user / Authorised Person / Sub Broker of any other *Trading / Clearing Member: recognized stock exchange
 Yes No Name of Member _____ (Please provide consent letter from such Trading/Clearing Member)

Whether Broker of any Exchange Yes No Name of Exchange/s _____ (Please provide consent letter from such Exchange/s)

Whether Declared Defaulter/debarred/suspended By SEBI/RBI/any Other Recognized Stock Exchange/Commodity Exchange: Yes No
 Details of any action/proceedings initiated /pending/taken by SEBI/Stock Exchange/any other authority against the Client during the last 3 years for violation of securities law/other economic offences (including action taken against relatives/associates) _____

F. INVESTMENT/TRADING EXPERIENCE & PREFERENCE

No Prior Investment Experience [] [] Years in Equities [] [] Years In Derivatives [] [] Years in other Investment Related Field

Proposed Investment / Margin through Sharekhan: ₹ _____

G DEPOSITORY ACCOUNT DETAILS (Transactions would be generally routed through the below demat account.) (Default for Payout)

Depository : NSDL CDSL DP Name: _____
 Beneficiary Name: _____ DP ID : [] [] [] [] [] [] [] [] [] [] BO ID: [] [] [] [] [] [] [] [] [] []

N. STOCK EXCHANGES ON WHICH YOU WISH TO TRADE

Equity/ Mutual Fund (BSE & NSE)	F & O (BSE & NSE)	Currency (BSE & NSE)	Commodity (MCX)
	I have knowledge of trading in derivatives segment and am aware of risks associated therein	I have knowledge of trading in currency derivatives segment and am aware of risks associated therein	I have knowledge of trading in Commodity derivative segment and am aware of risks associated therein
(2) <input type="checkbox"/>	(3) <input type="checkbox"/>	(4) <input type="checkbox"/>	(5) <input type="checkbox"/>

1. Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off / mentioned as NA.
2. In future, if you need to trade in any additional Segment/Exchange, not opted above, separate authorisation letter will be required.
3. In case of trading in Derivatives it is compulsory to submit proof of Financial Details.

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 of any of the above information is found to be false or untrue or misleading or misrepresenting, I/we am/are aware that I/we may be held liable for it.
2. I/We confirm having read, received, explained and understood the contents of policies and procedures, terms & conditions governing Stock Broker, terms & conditions applicable for Margin Trading, **Policy on Handling of My Good Till Date Orders**, Risk Disclosure Documents & Do's & Don't's for trading on the Exchanges, Rights and Obligations applicable for Stock Brokers, Clients, Rights and Obligations applicable for Margin Trading Facility as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants & the tariff sheet, as available on the website on the company. I/We am/are further aware that a copy of Terms & Conditions governing Stock Broker, Risk Disclosure Document, **Policy on Handling of My Good Till Date Orders**, Policies and Procedures, Do's & Don't's for trading on the Exchanges and Rights and Obligations applicable for Stock Brokers, Authorized Persons & Clients, Rights and Obligations of Stock Brokers & Clients for Margin Trading Facility as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants will be received by me/us in electronic form on the email ID provided by me / us in the KYC Document. This KYC document shall be subject to the jurisdiction of the Courts in Mumbai. Further the conciliation hearing through SEBI ODR mechanism will be confidential and any video/ recording/ statements made related to the same will not be considered as evidence in court of law.
3. I/we have read and agree to be bound by the Rules, Regulations, bye laws, circulars and guidelines issued by SEBI, Exchanges, Stock Broker, AMFI, Mutual Funds, Depository and Depository Participant pertaining to my/our trading and demat account, as are in force from time to time.
4. I/we understand that the Stock Broker is relying on this information for the purpose of determining the status of the applicants named above in compliance with CRS/FATCA. The Stock Broker is not able to offer any tax advice on CRS or FATCA or its impact on the applicants and I/We shall seek advice from professional tax advisor for any tax questions. Further, I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. I/We agree, as may be required by Regulatory authorities, Stock Broker shall be required to comply to report, reportable details to CBDT or close or suspend my/our account.
5. Under Penalty of perjury, I/We certify that:
 - i. I/We am/are (i) Taxable as a US person under the laws of the United States of America ("U.S") or any state of political subdivision thereof or therein, including the District of Columbia or any other states of U.S., (ii) and state that the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder/(s) is/are identified as a US person)
 - ii. I/We am/are an applicant taxable as a tax resident under the laws of country outside India. (This clause is applicable only if the account holder is a tax resident outside of India)
6. I/We hereby confirm that I/we am/are not a US Person or a resident for tax purpose in any country other than India, though my/our Country of Birth suggests my/our relation with US or one or more parameters suggest my/our relation with the country outside India. I/we am/are providing/already provided copy of my PAN card and now providing a certificate of relinquishment of US citizenship (loss of nationality) OR reasons for not having such a certificate despite relinquishing US citizenship OR for not obtaining US citizenship at birth (only if born in US) Please specify reason:
7. I/We confirm having read and understood the guidelines pertaining to BSDA and is eligible to open a depository account as a BSDA holder. I/we will comply with the said guidelines and that in case my/our Demat Account opened under BSDA facility does not meet the eligibility for BSDA facility as per guidelines issued by SEBI or any such authority at any point of time, my/our BSDA account will be converted to Regular Demat Account without further reference to me/us and will be levied charges as applicable to regular accounts (applicable only if consented for BSDA facility).
8. I/We also declare that I/we have complied and will continue to comply with FEMA & other applicable regulations.
9. Declaration of Tax Conformity—I/We acknowledge that it is my responsibility to understand and comply with any tax obligations and requirements and the consequences thereof that may apply to me/us under the laws and regulations of my/our country of residence or any other relevant jurisdiction, and where appropriate to seek the necessary independent professional advice.
Such obligations and requirements include the obligation to ensure that any account that I/we maintain with the Sharekhan, as well as any assets (including cash, securities and other assets) deposited with the Sharekhan under my/our name, and any income or proceeds in relation thereto, are disclosed to the relevant tax or other authorities in my/our country of residence and any other relevant jurisdiction.
In this respect, I/we hereby confirm that I/we understand such obligations and requirements and that I/we am/are compliant in respect thereof.
I/we herewith declare that all assets, including cash and securities, deposited in my account(s) with the Sharekhan and the income or proceeds thereof, are currently and will continue to be fully disclosed to the relevant tax and any other authorities in my/our country of residence and in any other jurisdiction as required by the applicable laws and regulations.

I/We understand that should any of the aforementioned statement or undertaking be or become incorrect and should I/we not immediately correct the situation and prove this to the Sharekhan Ltd, the Sharekhan Ltd may decide to immediately terminate its relationship with me/us. I/We shall bear any damage resulting there from.

- 10. I/We hereby declare that I/we had provided Aadhaar Card as proof of Identity and/or proof address to Sharekhan Ltd even-though there were other documents accepted by Sharekhan and I/we authorize Sharekhan to share the copy and/or details of the Aadhaar card (excluding Aadhaar Number) as per the Regulatory/Exchange/Depository requirement. (Applicable in case Aadhaar card is provided as proof of address and/or identity)
- 11. I/We hereby confirm that Sharekhan may update my/our name in all Exchanges as per the name available in Income Tax records.
- 12. I/We, opening demat account with Sharekhan, hereby declare that I/we will submit only those inter depository transfer instructions in respect of Government Securities (G-Sec) which are bonafide and arising out of genuine trade or transfer transaction.
- 13. I/We hereby confirm that I/We am/are not subject to sanctions nor do I/We form a part of the sanctions lists enforced by the European Union ("EU"), France ("FR"), the United States ("U.S."), United Nations Security Council ("UNSC") or form part of the list of banned organizations, designated entities/individuals listed under the Unlawful Activities (Prevention) Act, 1967.
- 14. In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform the Stock Broker/Participant about the death of account holder(s) with required documents within one year of the date of demise.
- 15. In case if 'first holder' is selected, the communication will be sent as per the preference mentioned at Sr. No. 15 of C. Standing Instructions. In case 'All joint account holders' is opted, communication to first holder will be sent as per the preference mentioned at Sr. No. 15 of C. Standing Instructions and communication to other holders will be in electronic mode. The default option will be communication to 'first holder', if no option selected.
- 16. I/We hereby confirm that whenever there will be change of address, I/We will intimate you about the same.
- 17. I/We, provide consent for the disclosure of information and data relating to me/my accounts with Sharekhan Ltd and its group companies, that incase of any default, if any, committed by me/us, whereby as per Sharekhan Ltd's records there is any amount outstanding/due to be paid to Sharekhan or its group companies then in such circumstance, Sharekhan and or its group companies can lawfully with our full free consent disclose or share mine/our data including any personal information as Sharekhan may deem appropriate and necessary for recovering dues with its Vendors, Contractors, Associates, Advocates, Accountants, Regulatory Agencies, RBI, CIBIL & Third Party Agents. And we hereby agree that Sharekhan is within its rights to use this data by itself or through any authorised representative/service provider or agent etc to recover the dues.
- 18. I/We, confirm that on expiry of the time period for which Annual maintenance Charges (AMC) are levied by Sharekhan, the liability and obligation to renew the same and ensure that the reduced charges continue to apply to my account rests with me as the client of Sharekhan. Further I understand that the trading member reserves the right to extend or discontinue or change in partial/full the Annual Maintenance Charge (AMC) Scheme without any prior notice to me/us. We understand that the revised AMC shall become applicable from such date as may be decided by the trading member and communicated by the TM either on its website/ or by sms/email or any other electronic form as per the TM's discretion.
I/We, agree that in case of discontinuation in AMC Scheme, default brokerage rate as applicable at relevant time displayed on website of Sharekhan shall be applicable to my/our account.
- 19. For receiving Statement of Account in electronic form:
 - I. Client must ensure the confidentiality of the password of the email account.
 - II. Client must promptly inform the Participant if the email address has changed.
 - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Stock Broker/Depository Participant may also terminate this facility by giving 10 days prior notice.

	Name(s) of holder(s)/client	Specimen Signature of holder(s)/client
Sole/First Holder		(6) 
Second Holder		(2) 
Third Holder		(2) 

Date: _____

Place: _____

FOR OFFICE PURPOSES:

UCC Code allotted to the Client: (As mention on page no. 6 on account opening form)

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Staff / Authorised Person			
Staff Code			
Designation of the Staff			
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 terms and conditions and handed over a copy of the same. 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', Terms and Conditions and RDD would be made available on my/ our website, if any, for the information of the clients.

I hereby confirm that, I have not directed, encouraged or assisted client with respect to strategies to their account as US accounts / Other reportable account. I have not given any tax advice to client."

Date: _____

Seal/ Stamp of Sharekhan Limited

(Name & Signature of the Authorised Signatory)

Particular	Name	Code
Franchisee / Branch Name		
Remisier Name		
Referring Employee Name		
Name of RM / Executive		
Name of Manager		
Lead Source		

Account opening charges : _____

In case of waiver of account opening charges:

Approved by (Name)	Designation	Signature with Stamp

NOMINATION (Depository A/c only Trading A/c only MF A/c only All) * PAN of Nominee Mandatory for Nomination in Trading A/c

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

Nomination can be made upto three nominees in the account.		Details of 1 st Nominee	Details of 2 nd Nominee	Details of 3 rd Nominee
Mandatory Details				
1	Name of the nominee(s) (Mr./Ms.)			
2	Share of each Nominee	Equally <input type="checkbox"/> [If not equally, please specify percentage]	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.				
3	Relationship With the Applicant (If Any)			
4	<u>In Case Nominee is Minor:</u> Date of Birth of Minor Nominee: Name of Guardian:			
Non-Mandatory Details				
5	Address of Nominee(s) Guardian in case of Minor City / Place: State & Country: PIN Code			
6	Mobile/Telephone No. of nominee(s)/ Guardian in case of Minor			
7	Email ID of nominee(s)/ Guardian in case of Minor			
8	Nominee/ Guardian (in case of Minor) Identification details [[Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
Name(s) of holder(s)			Signature(s) of holder*	
Sole / First Holder (Mr./Ms.)			(7) 	
Second Holder (Mr./Ms.)			(2) 	
Third Holder (Mr./Ms.)			(2) 	
* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.				
Note: This nomination shall supersede any prior nomination made by the account holder(s), if any. The Intermediary shall provide acknowledgement of the nomination form to the account holder(s)				

Annexure-B

Declaration for opting-out of Nomination

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio/ demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account.

Name and Signature of Holder(s)*

1. _____ 2. _____ 3. _____

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

Notes:

1. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate, partnership firm, and Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
2. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
3. Only individual / natural person(s) can be a nominee(s). The Nominee(s) shall not be artificial person created/dressed by the law or by a fiction such as trust, society, body corporate, partnership firm, Hindu Undivided Family etc. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
4. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
5. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the Exchange/Depository and the Trading Member/Depository Participant against the legal heir.
6. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate, partnership firm and Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
7. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
8. Nomination can be made upto three nominees in a trading or demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
9. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM FOR NOMINATION at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
10. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
11. DP ID and client ID shall be provided where demat details is required to be provided.
12. This nomination shall supersede any prior nomination made by the account holder(s), if any.
13. All communication shall be sent at the address of the Sole/First holder only.
14. Thumb impressions must be attested by witness or a Magistrate or a Notary Public or a Special Executive Magistrate
15. Signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
16. The nomination and Declaration form may be signed using e-Sign facility or wet signature and in these cases, witness will not be required.

MANDATE FOR MAINTAINING THE ACCOUNT ON RUNNING ACCOUNT BASIS

To,

Sharekhan Limited
The Ruby, 18th Floor, 29 Senapati Bapat Marg, Dadar (West),
Mumbai – 400 028, Maharashtra, INDIA

Dear Sir,

Notwithstanding anything contrary contained in any of the document or correspondence, I / We hereby severally give mandate to you for maintenance of my/our account with you on running account basis. This mandate shall be applicable to all segments across exchanges maintained with you including Mutual funds availed through NSE MFSS and / or BSE STAR MF or such other platform.

This mandate is voluntarily given by me / us as it is cumbersome for me / us to settle the accounts with you frequently. This will facilitate me/us in my transactions through you. I/We also request you to consider the balances in my/our funds, securities, mutual fund units and currency account with you for the purpose of margins/any other obligations due to you.

In view of the above it would be proper for you to release the funds, mutual fund units and securities due to me/us on my specific request, either written or oral. You may debit the charges of holding units/securities/commodities to my/our account with you.

I/We hereby agree to settle my/our funds/securities/mutual funds/commodities account on *Monthly/Quarterly basis as per SEBI guidelines. Further, I/We hereby declare that I/We retain the right to revoke this authorization at anytime.

Yours faithfully,

Date : _____

Place : _____

(8)  _____
Signature of Client

* In case not specified account would be settled in Quarterly basis.

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Currency Underlying Exposure Declaration Letter to Trade Currency Derivatives

To,

Sharekhan Limited

Dear Team,

In accordance with above mentioned RBI This is with reference to RBI Circular dated January 5, 2024 RBI/2023-24/108 P. (DIR Series) Circular No. 13 on the subject of Risk Management and Inter-Bank Dealings – Hedging of foreign exchange risk, I/We hereby declare following:

1. I/We have valid underlying exposure which has not been hedged using any another derivative contract;
2. I/We shall present sufficient evidences off the underlying exposure related to currency derivative contracts this details as and when requested by Sharekhan
3. I/We are aware that deposition in the contracts shall be within the limits USD 100 million (or equivalent) in contracts involving INR as specified by exchanges / RBI. Further, these are backed by contracted exposure which is not hedged elsewhere;
4. I/We confirm that the notional amount and tenor of the derivative contract shall not exceed the value and tenor of the exposure;
5. I/We are aware that in case the exposure ceases to exist, in full or in part, the user has appropriately adjusted the hedge to ensure adherence to point 4 above, unless the original derivative contract is assigned against any other unhedged exposure. No adjustment to the hedge is required to be made if, in the considered opinion of the Authorised Dealer, the change in exposure is not material;
6. I/We are aware that if I/We intend to take position beyond USD 100 million (or equivalent) in contracts involving INR, in all Stock Exchanges put together, then an Authorised Dealer / Custodian shall be designated to monitor the transactions.
7. I/We shall always adhere to regulatory provisions as mentioned above and all the relevant circulars, Rules, Regulations & Guidelines issued by SEBI, RBI & Exchanges from time to time.
8. I/We confirm that the information submitted by me/us is true to the facts submitted by me/us and I/We shall be held responsible in case of any breach / incorrect information found.

I/We have read, understood and accepted the above terms and acknowledge with the above mentioned and request for allowing transactions in Currency segment in INR paired contracts against my/our permitted underlying exposure.

Client Name: _____

Signature : _____

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Client ID:	"Schedule A" effective from November 1, 2020							Scheme
	Scheme Chosen							
	Scheme A AMC 400	Scheme B AMC 500	Scheme C AMC 350	Scheme D One Time 2999	Scheme E IPO 100	Scheme F Plain DP		
Transaction type	Scheme A (TC100)	Scheme B (TC108)	Scheme C (TC119)	Scheme D (TC117)**	Scheme E (TC120)	Scheme F (TC101)	BSDA	
Deposit	Trading Client Code / Trading Application No. { _____ }							
	Nil	Nil	Nil	Rs. 2999 (refund of deposit Rs. 2000 on closure)	Nil	Nil	Nil	
Account Opening	Nil KRA charges as applicable							
Annual Maintenance Charges	Rs. 400 p.a* (DP Account, DDPI & Dig. Contract Notes Mandatory)	Rs.500 p.a (without DDPI & Dig. Contract Notes)	Rs. 350 p.a* (DP Account, DDPI & Dig. Contract Notes Mandatory)	Nil (DP Account, DDPI & Dig. Contract Notes Mandatory)	Rs. 100 p.a* (DP Account, DDPI & Dig. Contract Notes Mandatory)	Rs.500 p.a	Nil (Value of holding other than debt securities upto Rs. 50,000/Value of debt securities upto Rs.1,00,000) OR Rs. 100 p.a. (Value of holding other than debt securities from Rs. 50,001 to Rs. 200,000/ Value of debt securities from Rs.1,00,001 to Rs. 2,00,000)	
	(Not Applicable for BSDA clients)	(Not Applicable for BSDA clients)	(Not Applicable for BSDA clients)	(Not Applicable for BSDA clients)	(Not Applicable for BSDA clients)	(Not Applicable for BSDA clients)		
Sales - Through Sharekhan	Nil	Nil	Rs. 6 Per transaction	Rs. 6 Per transaction	0.03% of the value of transaction. (Min.Rs.29)	0.03% of the value of transaction. (Min.Rs.30)	0.03% of the value of transaction. (Min.Rs.49)	
Purchases	Nil							
Delivery Handling Charges (DHC)#	Min Rs.21/- (on sale only)..Delivery Handling Charges (DHC) would be levied in case value of the brokerage levied is less than Rs. 21/- per scrip.	Min Rs.21/- (on sale only)..Delivery Handling Charges (DHC) would be levied in case value of the brokerage levied is less than Rs. 21/- per scrip.	N.A	N.A	N.A	N.A	Min Rs.21/- (on sale only)..Delivery Handling Charges (DHC) would be levied in case value of the brokerage levied is less than Rs. 21/- per scrip.	
Sales - Not through Sharekhan/ Offmarket transfer/IDT	0.03% of the value of transaction. (Min.Rs.30)	0.03% of the value of transaction. (Min.Rs.30)	0.03% of the value of transaction. (Min.Rs.30)	0.03% of the value of transaction. (Min.Rs.30)	0.03% of the value of transaction. (Min.Rs.49)	0.03% of the value of transaction. (Min.Rs.30)	0.03% of the value of transaction. (Min.Rs.49)	
Client Master changes request	Nil	Nil	Nil	Nil	Nil	Nil	Rs. 30 per request	
Dematerialisation	Rs.5 per certificate (Min. Rs.50 per request)							
Rematerialisation/Repurchase	Rs. 50 per certificate or Rs. 50 for every hundred securities (Per request whichever higher)							
Margin Pledge Creation	A : Securities Margin Pledge			Rs. 20/- Per Transaction				
	B : Securities Pledge under Margin Funding			Rs. 30/- Per Transaction				
Pledge Creation	0.03% of the value of the transaction (Min Rs.100) (Per transaction)							
Freeze/De-freeze	Rs.25 (Per request)							
Stock Lending & Borrowing	0.02% of the value of the transaction (Min Rs.100) (Per request)							
Advance	Rs.500 (Advance which will be adjusted Against billing (Optional))							
<p>*AMC Free for the first year</p> <p>**This Scheme is valid for 10 years from the date of execution and then would be converted to TC 100.</p> <p># Applicable in Trading account. Refer to trading brokerage structure.</p> <p>Note: 1. Sharekhan reserves the right to revise the tariff by providing 30 days notice & this will be binding on all. 2. Any service not quoted above will be charged separately. 3.Transaction statement : Will be sent as per CDSL requirements at no extra cost. Every extra Statement shall be charged at Rs.10. If the number of pages exceeds 10 then every additional page will be charged at the rate of Rs.3 per page. 4. All charges are exclusive of GST. 5. In case of non payment of DP charge, Sharekhan may levy interest@18% p.a.</p>								
<p>*OPTION FORM FOR ISSUE OF DIS BOOKLET</p> <p>Option 1 : I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account though I/we have issued a Demat Debit and Pledge Instruction (DDPI)/executed PMS agreement in favour of/with Sharekhan Ltd (name of the attorney/clearing Member/PMS Manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member/by PMS Manager.</p> <p>Option 2 : I/We do not require Delivery Instruction Slip (DIS) for the time being, since I/We have issued a DDPI/executed PMS agreement in favour of/with Sharekhan Ltd (name of the attorney/clearing Member/PMS Manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member/by PMS Manager. However the Delivery instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.</p>								

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by BNP PARIBAS