



# MultipleX Capital Limited

SEBI REGISTRATION NO. :

NSE - Cash-INE230783732 | NSE F&O-INE230783732 | NSE Currency-INE230783732

BSE - Cash-INE010783737 | BSE F&O-INE010783737 | BSE Currency-INE010783737

MCX-SX - Currency - INE260783732 | USE - Currency-INE270783736

DP ID (NSDL)-IN 302620 | SEBI REGN (NSDL)-IN-DP-NSDL-216-2001

DP ID (CDSL)-12056500 | SEBI REGN (CDSL)-IN-DP-CDSL-261-2004

INDIVIDUAL

NON-INDIVIDUAL

# ACCOUNT OPENING FORM

## INSTRUCTIONS / CHECK LIST FORM FILLING KYC FORM

### A. IMPORTANT POINTS:

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

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

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

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

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

License/Flat Maintenance bill/Insurance Copy.

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

### D. Exemptions/clarifications to PAN

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

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

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

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


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

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

| S.No.  | Name of the Document  | Brief Significance of the Documents  | P. No.        |
|--|---|--|---------------|
| <b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b> |   |  |               |
| 1.   | Account Opening Form  | A. KYC Form - Part-1 Document captures the basic information about the constituent and an instruction/check list (to be sent KRA)<br>B. KYC Form - Part-II Document captures the additional information about the constituent relevant to trading account and Demat account.   | 1 - 8<br>9-12 |
| 2.   | Additional information related to Demat Account (NSDL+CDSL) | A. Document capturing additional information for Demat Account (Individual/ Non-individual)<br>B. Terms and Conditions-Cum-Registration / Modification Form for receiving SMS Alerts from CDSL<br>C. Rights and Obligations of Beneficial Owner and Depository Participant as Prescribed By SEBI and Depositories<br>D. Format of the Board Resolution<br>E. Introduction<br>F. Authorisation for Providing DP Transaction Statement by Email or on Website<br>G. Declaration to be Given By HUF on the Letter Head of the HUF<br>H. Schedule of Charges for Depository Services (NSDL+CDSL) | 13-30         |
| 3.   | Rights and Obligations                                      | Document stating the Rights & Obligations of Stock Broker/Trading Member, Sub-Broker and Client for trading on exchanges (including additional Rights & Obligations in case of Internet/Wireless Technology Based Trading).  | 31-34         |
| 4.   | Risk Disclosure Document (RDD)                              | Document detailing risks associated with dealing in the securities market.   | 35-37         |
| 5.   | Guidance Note   | Document detailing do's and don'ts for trading on exchange, for the education of the investors.  | 38            |
| 6.   | Policies and Procedures                                     | Document describing significant policies and procedures of the Stock Broker.   | 39-43         |
| 7.   | Tariff Sheet  | A. Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).  | 44            |
| <b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>       |   |  |               |
| 8.   | NSE - MFSS Facility   | Document authorizing Stock Broker/Trading Member for Mutual Fund Facility  | 45-46         |
| 9.   | Letter of Authority   | Authority Letter   | 47-48         |
| 10.  | Addendum To The Client Registration Form / Key Information  | Addendum   | 49            |
| 11.  | Power of Attorney   | Format   | 51            |
| 12.  | NOC Letter  | Format NOC Letter to be Submitted by Broker's / Exchange's Employee  | 53            |
| 13.  | Board Resolution  | Format of Board Resolution to be Given by Corporate Client   | 53            |
| 14.  | Declaration   | Format of Declaration To Be Given By Partnership Firm on Letter Head of The Firm   | 54            |
| 15.  | Declaration   | Declaration to be signed by all the members of HUF [applicable in case of 'HUF' Client]  | 54            |
| 16.  | ECS Form (to be submitted with banker)                      | Document authorizing to debit depository/other charges electronically from bank  | 55            |

### ACKNOWLEDGEMENT

I/We acknowledge receipt of the documents at serial 3, 4, 5 & 6. I/We further understand that rest of the document mentioned above shall be provided to me/us after Verification / Acceptance / Execution by the broker.

Client Signature :  1/23



|             |  |
|-------------|--|
| Location    |  |
| Client Code |  |

Name of Stock Broker/Trading Member/Clearing Member:

## MULTIPLEX CAPITAL LTD.

| EXCHANGE NAME | SEGMENT             | SEBI REGISTRATION NO. | DATE      |
|---------------|---------------------|-----------------------|-----------|
| NSE           | CASH                | INB230783732          | 14-Sep-95 |
| NSE           | F&O                 | INF230783732          | 14-Aug-02 |
| NSE           | CURRENCY DERIVATIVE | INE230783732          | 25-Aug-08 |
| BSE           | CASH                | INB010783737          | 7-Sep-07  |
| BSE           | F&O                 | INF010783737          | 19-Dec-11 |
| BSE           | CURRENCY DERIVATIVE | INE010783737          | 25-Sep-08 |
| MCX-SX        | CASH                | INB260783734          | 19-Dec-12 |
| MCX-SX        | F&O                 | INF260783734          | 19-Dec-12 |
| MCX-SX        | CURRENCY DERIVATIVE | INE260783732          | 29-Sep-08 |
| USE           | CURRENCY DERIVATIVE | INE270783736          | 9-Jul-10  |
| NSDL          | DP ID-IN302620      | IN-DP-NSDL-216-2001   | 30-Aug-01 |
| CDSL          | DP ID-12056500      | IN-DP-CDSL-261-2004   | 29-Jul-04 |

**Registered Office:** 100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085 • Ph.: 011-47055555, Fax : 011-27561629

E-mail : customer.grievance@multiplexcapital.com, info@multiplexcapital.com • Website : www.multiplexcapital.com

### Compliance Officer Details:-

Name : Mr. Yashwant Kumar Singh  
 Phone No. : 91-11-47055532  
 Email Id : yashwant@multiplexcapital.com

### CEO Details:-

Name : Mr. Rakesh Kumar Sethi  
 Phone No. : 91-11-47055526  
 Email Id : ceo@multiplexcapital.com

### Clearing Members Details (for Derivative Segments)

Name : Globe Capital Market Ltd.  
 Regd. Office : 609, Ansal Bhawan, K.G. Marg, New Delhi 110001  
 SEBI Regn No. : INF230663732

**For any grievance/dispute please contact Multiplex Capital Ltd. at the above address or email id:** customer.grievance@multiplexcapital.com and Phone No. +91-11-47055555. In case not satisfied with the response, please contact the concerned exchange(s) at :

| Exchange Name | Email ID                        | Phone No.                    |
|---------------|---------------------------------|------------------------------|
| NSE           | ignse@nse.co.in                 | 1800220058                   |
| BSE           | is@bseindia.com                 | +91-22-2272 8097             |
| MCX-SX        | investorcomplaints@mcx-sx.com   | +91-22-6731 9000 (Ext. 8883) |
| USE           | investorcomplaints@useindia.com | +91-22-42444999              |
| SEBI          | http://scores.gov.in            | 1800227575 / 18002667575     |
| NSDL          | relations@nsdl.co.in            | +91-22-24994200              |
| CDSL          | complaints@cdslindia.com        | +91-22-22723333              |

### Declaration for Pro Trading

We Multiplex Capital Ltd., hereby inform all our clients that besides trading on behalf of our clients, we also do Proprietary Trading in our own account.

### Acknowledgment for Receipt

I/We hereby acknowledge the receipt of duly executed copy of Account Opening Form, Rights and Obligations, RDD, Policies & Procedures, Depository Agreement, Schedule of Service Charges and All Other Documents as executed by me/us.

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

Signature of Client : \_\_\_\_\_ Name of Client : \_\_\_\_\_

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



**Know Your Client (KYC)**



**MULTIPLEX CAPITAL LTD.**

100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085

Please fill in ENGLISH and in BLOCK LETTERS with black ink

**Application Form (For Individuals Only)**

Application No. \_\_\_\_\_

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

1. Name of Applicant (As appearing in support identification document).

Name

Father's/Spouse Name

2. Gender  Male  Female B. Marital Status  Single  Married C. Date of Birth

3. Nationality  Indian  Other (Please specify) \_\_\_\_\_

4. Status Please tick (✓)  Resident Individual  Non Resident  Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN 



 Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any : \_\_\_\_\_

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

UID (Aadhaar)  Passport  Voter ID  Driving Licence  Others \_\_\_\_\_ (Please see guideline 'D' overleaf)

**PHOTOGRAPH**

Please affix the recent passport size photograph and sign across it

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

1. Address for Correspondence

|                   |          |
|-------------------|----------|
| City/Town/Village | Pin Code |
| State             | Country  |

2. Contact Details

|                         |                         |
|-------------------------|-------------------------|
| Tel. (Off.) (ISD) (STD) | Tel. (Res.) (ISD) (STD) |
| Mobile (ISD) (STD)      | Fax (ISD) (STD)         |
| E-Mail Id.              |                         |

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please Specify) \_\_\_\_\_

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

|                   |          |
|-------------------|----------|
| City/Town/Village | Pin Code |
| State             | Country  |

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

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\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

6. Any other information \_\_\_\_\_

**DECLARATION**

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

Place 



 Date

**SIGNATURE OF APPLICANT**

2/23

**FOR OFFICE USE ONLY**

IPV Done  on

AMC/Intermediary Name OR code \_\_\_\_\_

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary \_\_\_\_\_

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date





**A. IMPORTANT POINTS:**

1. Self attested copy of PAN card is mandatory for all clients.
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bill/Insurance Copy.

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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.
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8. The proof of address in the name of the spouse may be accepted.

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2. Investors residing in the state of Sikkim.
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**E. List of people authorized to attest the documents:**

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

Please Submit the KYC Documents on A4 Size Paper Only.

**Know Your Client (KYC)**



**MULTIPLEX CAPITAL LTD.**

100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085

Please fill in ENGLISH and in BLOCK LETTERS with black ink

**Application Form (For Individuals Only)**

Application No. \_\_\_\_\_

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

1. Name of Applicant (As appearing in support identification document).

Name

Father's/Spouse Name

2. Gender  Male  Female B. Marital Status  Single  Married C. Date of Birth

3. Nationality  Indian  Other (Please specify) \_\_\_\_\_

4. Status Please tick (✓)  Resident Individual  Non Resident  Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN 



 Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any : \_\_\_\_\_

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

UID (Aadhaar)  Passport  Voter ID  Driving Licence  Others \_\_\_\_\_ (Please see guideline 'D' overleaf)

**PHOTOGRAPH**

Please affix the recent passport size photograph and sign across it

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

1. Address for Correspondence

|                   |         |          |
|-------------------|---------|----------|
| City/Town/Village |         | Pin Code |
| State             | Country |          |

2. Contact Details

|                         |                         |
|-------------------------|-------------------------|
| Tel. (Off.) (ISD) (STD) | Tel. (Res.) (ISD) (STD) |
| Mobile (ISD) (STD)      | Fax (ISD) (STD)         |
| E-Mail Id.              |                         |

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please Specify) \_\_\_\_\_

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

|                   |         |          |
|-------------------|---------|----------|
| City/Town/Village |         | Pin Code |
| State             | Country |          |

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 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please Specify) \_\_\_\_\_

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

6. Any other information \_\_\_\_\_

**DECLARATION**

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

Place 



 Date

**SIGNATURE OF APPLICANT**

2/23

**FOR OFFICE USE ONLY**

IPV Done  on

AMC/Intermediary Name OR code \_\_\_\_\_

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary \_\_\_\_\_

Seal/Stamp of the intermediary should contain

Staff Name  
Designation  
Name of the Organization  
Signature  
Date

Seal/Stamp of the intermediary should contain

Staff Name  
Designation  
Name of the Organization  
Signature  
Date



**A. IMPORTANT POINTS:**

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

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

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

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

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

bill/Insurance Copy.

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

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

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

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

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

Please Submit the KYC Documents on A4 Size Paper Only.





## INSTRUCTIONS / CHECK LIST FORM FILLING KYC FORM

### A. IMPORTANT POINTS:

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

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

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

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

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

License/Flat Maintenance bill/Insurance Copy.

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

### D. Exemptions/clarifications to PAN

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

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

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

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

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

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

Please Submit the KYC Documents on A4 Size Paper Only.

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 \_\_\_\_\_

1. Name \_\_\_\_\_  
 PAN \_\_\_\_\_ DIN (For Directors) / UID (for Others) \_\_\_\_\_  
 Residential /Registered Address \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ Pin Code \_\_\_\_\_  
 State \_\_\_\_\_ Country \_\_\_\_\_  
 Relationship with Applicant (i.e. promoters, whole time directors etc.) \_\_\_\_\_  
 Wether Politically Exposed  PEP (Politically Exposed Person)  RPEP (Related to Politically Exposed Person)  NO



2. Name \_\_\_\_\_  
 PAN \_\_\_\_\_ DIN (For Directors) / UID (for Others) \_\_\_\_\_  
 Residential /Registered Address \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ Pin Code \_\_\_\_\_  
 State \_\_\_\_\_ Country \_\_\_\_\_  
 Relationship with Applicant (i.e. promoters, whole time directors etc.) \_\_\_\_\_  
 Wether Politically Exposed  PEP (Politically Exposed Person)  RPEP (Related to Politically Exposed Person)  NO



3. Name \_\_\_\_\_  
 PAN \_\_\_\_\_ DIN (For Directors) / UID (for Others) \_\_\_\_\_  
 Residential /Registered Address \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ Pin Code \_\_\_\_\_  
 State \_\_\_\_\_ Country \_\_\_\_\_  
 Relationship with Applicant (i.e. promoters, whole time directors etc.) \_\_\_\_\_  
 Wether Politically Exposed  PEP (Politically Exposed Person)  RPEP (Related to Politically Exposed Person)  NO



4. Name \_\_\_\_\_  
 PAN \_\_\_\_\_ DIN (For Directors) / UID (for Others) \_\_\_\_\_  
 Residential /Registered Address \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ Pin Code \_\_\_\_\_  
 State \_\_\_\_\_ Country \_\_\_\_\_  
 Relationship with Applicant (i.e. promoters, whole time directors etc.) \_\_\_\_\_  
 Wether Politically Exposed  PEP (Politically Exposed Person)  RPEP (Related to Politically Exposed Person)  NO



5. Name \_\_\_\_\_  
 PAN \_\_\_\_\_ DIN (For Directors) / UID (for Others) \_\_\_\_\_  
 Residential /Registered Address \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ Pin Code \_\_\_\_\_  
 State \_\_\_\_\_ Country \_\_\_\_\_  
 Relationship with Applicant (i.e. promoters, whole time directors etc.) \_\_\_\_\_  
 Wether Politically Exposed  PEP (Politically Exposed Person)  RPEP (Related to Politically Exposed Person)  NO

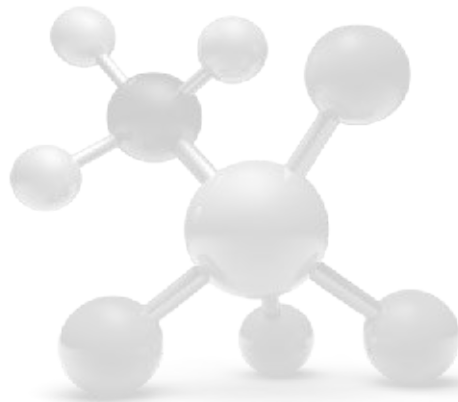


2/23  
 Name & Signature of the Authorised Signatory(ies)

Date | d | d | / | m | m | / | y | y | y | y |

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





multipleX

## ADDITIONAL INFORMATION RELATED TO TRADING ACCOUNT

### FOR INDIVIDUAL & NON-INDIVIDUAL

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

|   |   |
|---|---|
| <b>Bank Name (1)</b>  | <b>Bank Name (2)</b>  |
| Branch Address  | Branch Address  |
| Bank Acc. No.   | Bank Acc. No.   |
| Account Type<br><input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others..... | Account Type<br><input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others..... |
| In case of NRI: <input type="checkbox"/> NRE <input type="checkbox"/> NRO   | In case of NRI: <input type="checkbox"/> NRE <input type="checkbox"/> NRO   |
| MICR Code   | MICR Code   |
| IFSC Code   | IFSC Code   |

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

| Depository Participant Name | Depository Name (NSDL/CDSL)                                 | Beneficiary Name | DP ID | Beneficiary ID (BO ID) |
|-----------------------------|---|------------------|-------|------------------------|
|                             | <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL |                  |       |                        |
|                             | <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL |                  |       |                        |

#### C. OTHER DETAILS

|  |  |
|--|--|
| Gross Annual Income Details (please specify)             | Income Range per annum<br><input type="checkbox"/> Below ₹1 Lac <input type="checkbox"/> ₹1-5 Lac <input type="checkbox"/> ₹5-10 Lac <input type="checkbox"/> ₹10-25 Lac <input type="checkbox"/> ₹25 Lac -1 Crore <input type="checkbox"/> More than ₹1Crore<br>Net- worth* Amount (₹)..... As on (date) (___/___/20___) (Net worth should not be older than 1 year)                  |
| Occupation (please tick any one and give brief details): | <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional<br><input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others..... |
| Please tick, if applicable                               | <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)   |
| Any other information                                    |  |

\* For Individual Client 'Net-worth' is Optional, In case of Non-Individual client 'Net-worth' will be mandatory.

#### D. TRADING PREFERENCES

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

| Exchange | Segments              |                     |                       |                     |
|----------|-----------------------|---------------------|-----------------------|---------------------|
| NSE      | Cash                  | Sign. if applicable | **Currency Derivative | Sign. if applicable |
|          | F&O                   | Sign. if applicable | MFSS                  | Sign. if applicable |
| BSE      | Cash                  | Sign. if applicable | **Currency Derivative | Sign. if applicable |
|          | F&O                   | Sign. if applicable |                       |                     |
| MCX-SX   | Cash                  | Sign. if applicable | **Currency Derivative | Sign. if applicable |
|          | F&O                   | Sign. if applicable |                       |                     |
| USE      | **Currency Derivative | Sign. if applicable |                       |                     |

# If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker. \*\*Currency derivative segment include interest rate future.

#### E. 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, give details (attach annexure if required) .....

.....

.....



## F. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

|  |  |  |  |  |          |  |  |  |          |  |  |  |
|--|--|--|--|--|----------|--|--|--|----------|--|--|--|
| Sub-broker's Name  |  |  |  |  |          |  |  |  |          |  |  |  |
| SEBI Registration Number   |  |  |  |  |          |  |  |  |          |  |  |  |
| Registered office address  |  |  |  |  |          |  |  |  | PIN Code |  |  |  |
|  |  |  |  |  |          |  |  |  |          |  |  |  |
| Website  |  |  |  |  | Phone    |  |  |  | Fax      |  |  |  |
| Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all) |  |  |  |  |          |  |  |  |          |  |  |  |
| Name of stock broker   |  |  |  |  |          |  |  |  |          |  |  |  |
| Name of Sub-Broker (if any)  |  |  |  |  |          |  |  |  |          |  |  |  |
| Client Code  |  |  |  |  | Exchange |  |  |  |          |  |  |  |
| Details of disputes/dues pending from/to such stock broker/sub-broker  |  |  |  |  |          |  |  |  |          |  |  |  |

## G. ADDITIONAL DETAILS

|   |  |
|---|--|
| Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) | <input type="checkbox"/> Physical Contract Note  |
|   | <input type="checkbox"/> Electronic Contract Note (ECN)  |
| I/We wish to avail facility provided by the exchange  | <input type="checkbox"/> SMS Alert <input type="checkbox"/> E-mail Alert <input type="checkbox"/> Both |
| In case of ECN / E-mail Alert Pls. Specify your Email id  |  |
| In case of SMS Alert Pls. Specify your Mobile No  |  |
| Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)   | <input type="checkbox"/> Yes <input type="checkbox"/> No   |
| Number of years of Investment/Trading Experience  |  |
| Any other information   |  |

**In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others (attach annexure if require)**

|   |   |  |  |  |  |          |  |  |  |  |            |
|---|---|--|--|--|--|----------|--|--|--|--|------------|
| Name (1)  |   |  |  |  |  |          |  |  |  |  | PHOTOGRAPH |
| Designation   |   |  |  |  |  |          |  |  |  |  |            |
| PAN   |   |  |  |  | DIN (For Directors) / UID (for Others) |          |  |  |  |  |            |
| Residential Address   |   |  |  |  |  |          |  |  |  |  |            |
|   | City/Town/Village   |  |  |  |  | Pin Code |  |  |  |  |            |
|   | State   |  |  |  | Country                                |          |  |  |  |  |            |
| Relationship with Applicant (i.e. promoters, whole time directors etc.) |   |  |  |  |  |          |  |  |  |  |            |
| Wether Politically Exposed  | <input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO |  |  |  |  |          |  |  |  |  |            |
| Name (2)  |   |  |  |  |  |          |  |  |  |  | PHOTOGRAPH |
| Designation   |   |  |  |  |  |          |  |  |  |  |            |
| PAN   |   |  |  |  | DIN (For Directors) / UID (for Others) |          |  |  |  |  |            |
| Residential Address   |   |  |  |  |  |          |  |  |  |  |            |
|   | City/Town/Village   |  |  |  |  | Pin Code |  |  |  |  |            |
|   | State   |  |  |  | Country                                |          |  |  |  |  |            |
| Relationship with Applicant (i.e. promoters, whole time directors etc.) |   |  |  |  |  |          |  |  |  |  |            |
| Wether Politically Exposed  | <input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO |  |  |  |  |          |  |  |  |  |            |

|  |                   |  |  |  |  |  |  |  |  |  |            |
|--|-------------------|--|--|--|--|--|--|--|--|--|------------|
| Name (3)   |                   |  |  |  |  |  |  |  |  |  | PHOTOGRAPH |
| Designation  |                   |  |  |  |  |  |  |  |  |  |            |
| PAN  |                   |  |  |  |  | DIN (For Directors) / UID (for Others) |  |  |  |  |            |
| Residential Address  |                   |  |  |  |  |  |  |  |  |  |            |
|  | City/Town/Village |  |  |  |  | Pin Code                               |  |  |  |  |            |
|  | State             |  |  |  |  | Country                                |  |  |  |  |            |
| Relationship with Applicant (i.e. promoters, whole time directors etc.)  |                   |  |  |  |  |  |  |  |  |  |            |
| Wether Politically Exposed <input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO |                   |  |  |  |  |  |  |  |  |  |            |

|  |                   |  |  |  |  |  |  |  |  |  |            |
|--|-------------------|--|--|--|--|--|--|--|--|--|------------|
| Name (4)   |                   |  |  |  |  |  |  |  |  |  | PHOTOGRAPH |
| Designation  |                   |  |  |  |  |  |  |  |  |  |            |
| PAN  |                   |  |  |  |  | DIN (For Directors) / UID (for Others) |  |  |  |  |            |
| Residential Address  |                   |  |  |  |  |  |  |  |  |  |            |
|  | City/Town/Village |  |  |  |  | Pin Code                               |  |  |  |  |            |
|  | State             |  |  |  |  | Country                                |  |  |  |  |            |
| Relationship with Applicant (i.e. promoters, whole time directors etc.)  |                   |  |  |  |  |  |  |  |  |  |            |
| Wether Politically Exposed <input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO |                   |  |  |  |  |  |  |  |  |  |            |

|  |                   |  |  |  |  |  |  |  |  |  |            |
|--|-------------------|--|--|--|--|--|--|--|--|--|------------|
| Name (5)   |                   |  |  |  |  |  |  |  |  |  | PHOTOGRAPH |
| Designation  |                   |  |  |  |  |  |  |  |  |  |            |
| PAN  |                   |  |  |  |  | DIN (For Directors) / UID (for Others) |  |  |  |  |            |
| Residential Address  |                   |  |  |  |  |  |  |  |  |  |            |
|  | City/Town/Village |  |  |  |  | Pin Code                               |  |  |  |  |            |
|  | State             |  |  |  |  | Country                                |  |  |  |  |            |
| Relationship with Applicant (i.e. promoters, whole time directors etc.)  |                   |  |  |  |  |  |  |  |  |  |            |
| Wether Politically Exposed <input type="checkbox"/> PEP (Politically Exposed Person) <input type="checkbox"/> RPEP (Related to Politically Exposed Person) <input type="checkbox"/> NO |                   |  |  |  |  |  |  |  |  |  |            |

#### H. INTRODUCER DETAILS (optional)

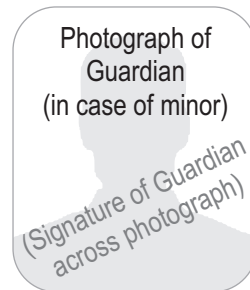
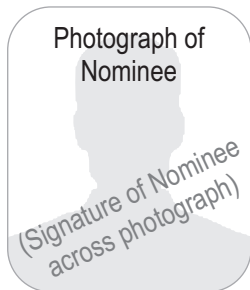
|                             |  |  |  |  |  |  |  |  |  |  |
|-----------------------------|--|--|--|--|--|--|--|--|--|--|
| Name of the Introducer      |  |  |  |  |  |  |  |  |  |  |
| Status of the Introducer    | <input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client<br><input type="checkbox"/> Others (please specify): ..... |  |  |  |  |  |  |  |  |  |
| Address of the Introducer   |  |  |  |  |  |  |  |  |  |  |
| Phone No. of Introducer     |  |  |  |  |  |  |  |  |  |  |
| Signature of the Introducer |  |  |  |  |  |  |  |  |  |  |

#### I. NOMINATION DETAILS (for individuals only)

|  |   |  |  |  |  |                      |  |  |  |  |
|--|---|--|--|--|--|----------------------|--|--|--|--|
| <input type="checkbox"/> I/We wish to nominate | <input type="checkbox"/> I/We do not wish to nominate |  |  |  |  |                      |  |  |  |  |
| Name of the Nominee                            |   |  |  |  |  |                      |  |  |  |  |
| Relationship with the Nominee                  |   |  |  |  |  | PAN of Nominee       |  |  |  |  |
| Date of Birth of Nominee                       | DD / MM / YYYY  |  |  |  |  | Phone No. of Nominee |  |  |  |  |
| Address of the Nominee                         |   |  |  |  |  |                      |  |  |  |  |

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

|                          |  |                            |  |
|--------------------------|--|----------------------------|--|
| Name of Guardian:        |  |                            |  |
| Address of the Guardian: |  |                            |  |
| Phone No. of Guardian:   |  | Signature of the Guardian: |  |



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

|           |  |           |  |
|-----------|--|-----------|--|
| Name      |  | Name      |  |
| Signature |  | Signature |  |
| Address   |  | Address   |  |

**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.
- 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.
- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

| Name(s) of the Authorised Signatory | Signature of the Authorised Signatory |
|-------------------------------------|---------------------------------------|
| 1.                                  | 3/23                                  |
| 2.                                  |                                       |
| 3.                                  |                                       |
| 4.                                  |                                       |

Date: DD / MM / YYYY

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client: .....

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

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients

Signature of the Authorised Signatory

Date: .....

Seal/Stamp of the stock broker

## ADDITIONAL INFORMATION RELATED TO DEMAT ACCOUNT (FOR INDIVIDUAL)



## MULTIPLEX CAPITAL LTD.

CIN: U74899DL1994PLC058767 | Member : NSE, BSE, MCX, USE • DP (NSDL) DP ID : IN302620 | SEBI REGN. NO.: IN-DP-NSDL-216-2001

Regd. Office: 100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085 Ph.: 011-47055555, Fax: 011-27561629

|                 |  |
|-----------------|--|
| Receipt No.     |  |
| Cash/Cheque No. |  |
| Amount (Rs.)    |  |
| Branch          |  |

|      |   |   |   |   |   |   |   |   |           |   |   |   |   |   |   |   |   |
|------|---|---|---|---|---|---|---|---|-----------|---|---|---|---|---|---|---|---|
| Date | D | D | M | M | Y | Y | Y | Y | Client ID | I | N | 3 | 0 | 2 | 6 | 2 | 0 |
|------|---|---|---|---|---|---|---|---|-----------|---|---|---|---|---|---|---|---|

(Please fill all the details in CAPITAL LETTERS only) /We request you to open a depository account in my/our name as per the following details

## A Details of Account holder(s)

| Account holder(s)  | Sole/ First Holder   |   |  |   | Second Holder  |   |  |   | Third Holder |  |  |  |
|--|--|---|--|---|--|---|--|---|--------------|--|--|--|
| Name   |  |   |  |   |  |   |  |   |              |  |  |  |
| PAN  |  |   |  |   |  |   |  |   |              |  |  |  |
| Occupation<br>(please tick any one and give brief details) | <input type="checkbox"/> Private Sector<br><input type="checkbox"/> Public Sector<br><input type="checkbox"/> Government Service<br><input type="checkbox"/> Business<br><input type="checkbox"/> Professional | <input type="checkbox"/> Agriculturist<br><input type="checkbox"/> Retired<br><input type="checkbox"/> Housewife<br><input type="checkbox"/> Student<br><input type="checkbox"/> Others (Please specify; _____) | <input type="checkbox"/> Private Sector<br><input type="checkbox"/> Public Sector<br><input type="checkbox"/> Government Service<br><input type="checkbox"/> Business<br><input type="checkbox"/> Professional | <input type="checkbox"/> Agriculturist<br><input type="checkbox"/> Retired<br><input type="checkbox"/> Housewife<br><input type="checkbox"/> Student<br><input type="checkbox"/> Others (Please specify; _____) | <input type="checkbox"/> Private Sector<br><input type="checkbox"/> Public Sector<br><input type="checkbox"/> Government Service<br><input type="checkbox"/> Business<br><input type="checkbox"/> Professional | <input type="checkbox"/> Agriculturist<br><input type="checkbox"/> Retired<br><input type="checkbox"/> Housewife<br><input type="checkbox"/> Student<br><input type="checkbox"/> Others (Please specify; _____) | <input type="checkbox"/> Private Sector<br><input type="checkbox"/> Public Sector<br><input type="checkbox"/> Government Service<br><input type="checkbox"/> Business<br><input type="checkbox"/> Professional | <input type="checkbox"/> Agriculturist<br><input type="checkbox"/> Retired<br><input type="checkbox"/> Housewife<br><input type="checkbox"/> Student<br><input type="checkbox"/> Others (Please specify; _____) |              |  |  |  |
| Brief details:   |  |   |  |   |  |   |  |   |              |  |  |  |

**B** For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:

|                          |   |  |  |  |  |  |  |  |  |  |  |  |
|--------------------------|---|--|--|--|--|--|--|--|--|--|--|--|
| Name                     |   |  |  |  |  |  |  |  |  |  |  |  |
| PAN                      |   |  |  |  |  |  |  |  |  |  |  |  |
| <b>C</b> Type of Account | <input type="checkbox"/> Ordinary Resident <input type="checkbox"/> NRI-Repatriable <input type="checkbox"/> NRI-Non Repatriable <input type="checkbox"/> Qualified Foreign Investor<br><input type="checkbox"/> Foreign National <input type="checkbox"/> Promoter <input type="checkbox"/> Margin <input type="checkbox"/> Others (Please Specify)_____ |  |  |  |  |  |  |  |  |  |  |  |

## D Gross Annual Income Details

Income Range per annum (Please tick (✓)) :  <1 Lac  1-5 Lac  5-10 Lac  10-25 Lac  > 25 Lacs

## E In case of NRIs/ Foreign Nationals

|                               |   |   |   |   |   |   |   |   |  |  |  |  |
|-------------------------------|---|---|---|---|---|---|---|---|--|--|--|--|
| RBI Approval Reference Number |   |   |   |   |   |   |   |   |  |  |  |  |
| RBI Approval date             | D | D | M | M | Y | Y | Y | Y |  |  |  |  |

## F Bank Details

|                |  |              |  |  |  |  |      |          |  |  |  |  |
|----------------|--|--------------|--|--|--|--|------|----------|--|--|--|--|
| Bank A/c Type  | <input type="checkbox"/> SA <input type="checkbox"/> CA <input type="checkbox"/> Others <u>Pl. Specify</u> | Bank A/c No. |  |  |  |  |      |          |  |  |  |  |
| Bank Name      |  |              |  |  |  |  |      |          |  |  |  |  |
| Branch Address | City/town/village  |              |  |  |  |  |      | PIN Code |  |  |  |  |
|                | State  |              |  |  |  |  |      | Country  |  |  |  |  |
| MICR Code      |  |              |  |  |  |  | IFSC |          |  |  |  |  |

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

## H Standing Instructions

|   |   |
|---|---|
| I/We authorise you to receive credits automatically into my/our account.  | <input type="checkbox"/> Yes <input type="checkbox"/> No                      |
| Account to be operated through Power of Attorney (PoA)  | <input type="checkbox"/> Yes <input type="checkbox"/> No                      |
| <b>SMS Alert facility:</b> [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form] |   |
| <b>Sole / First Holder</b> <input type="checkbox"/> Yes <input type="checkbox"/> No   | <b>Second Holder</b> <input type="checkbox"/> Yes <input type="checkbox"/> No |
| <b>Third Holder</b> <input type="checkbox"/> Yes <input type="checkbox"/> No  |   |

## Mode of Receiving Statement of Account [Tick any One]

|  |   |
|--|---|
| <input type="checkbox"/> Physical Form | <input type="checkbox"/> Electronic Form [Read Note 4 and ensure that email ID is provided in KYC Application Form] |
|--|---|

**I** Guardian Details (where sole holder is a minor): [For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

|                                     |  |  |  |  |  |  |  |  |  |  |  |  |
|-------------------------------------|--|--|--|--|--|--|--|--|--|--|--|--|
| Guardian Name                       |  |  |  |  |  |  |  |  |  |  |  |  |
| PAN                                 |  |  |  |  |  |  |  |  |  |  |  |  |
| Relationship of guardian with minor |  |  |  |  |  |  |  |  |  |  |  |  |

# NSDL

## J NOMINATION OPTION

|   |   |
|---|---|
| <input type="checkbox"/> I/We wish to make a nomination.<br><b>[As per details given below]</b> | <input type="checkbox"/> I/We do not wish to make a nomination.<br><b>[Strike off the nomination details below]</b> |
|---|---|

### Nomination Details

I/We wish to make a nomination and do hereby nominate the following person in whom all rights and / or amount payable in respect of securities held in the Depository by me / us in the said beneficiary owner account shall vest in the event of my / our death.

|  |                   |  |  |          |  |          |     |
|--|-------------------|--|--|----------|--|----------|-----|
| Name of the Nominee (Mr. Ms.)            |                   |  |  |          |  |          |     |
| Relationship with the Applicant (if any) |                   |  |  |          |  |          |     |
| Address of Nominee                       | City/town/village |  |  |          |  | PIN Code |     |
|  | State             |  |  |          |  | Country  |     |
|  |                   |  |  |          |  |          |     |
| Contact Details of Nominee               | Tel. (O)          |  |  | Tel. (R) |  |          | Fax |
|  | Mobile            |  |  |          |  |          |     |
|  | E-mail Id         |  |  |          |  |          |     |

### Nominee Identification details (please tick any one (a) to (f) from and provide details of the same)

|  |   |                      |
|--|---|----------------------|
| <b>A</b><br>Photograph of nominee<br><br><i>Signature of nominee across photograph</i> | <b>B</b> <input type="checkbox"/> PAN of nominee  | Signature of Nominee |
|  | <b>C</b> <input type="checkbox"/> Aadhaar number of nominee   |                      |
|  | <b>D</b> <input type="checkbox"/> Savings bank account number of nominee, if maintained with the same Participant   |                      |
|  | <b>E</b> <input type="checkbox"/> Copy of any proof of identity document (accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure JB) |                      |
|  | <b>F</b> <input type="checkbox"/> Demat account details of nominee  |                      |
|  | <b>DP ID</b>  |                      |
|  | <b>Client ID</b>  |                      |

### To be filled-up (only if nominee is a minor)

|   |                   |  |  |          |  |          |     |
|---|-------------------|--|--|----------|--|----------|-----|
| Date of Birth (in case of minor nominee)              |                   |  |  |          |  |          |     |
| Name of Guardian (Mr. Ms.) (in case of minor nominee) |                   |  |  |          |  |          |     |
| Relationship with the Applicant (if any)              |                   |  |  |          |  |          |     |
| Address of Guardian                                   | City/town/village |  |  |          |  | PIN Code |     |
|   | State             |  |  |          |  | Country  |     |
|   |                   |  |  |          |  |          |     |
| Contact Details of Guardian                           | Tel. (O)          |  |  | Tel. (R) |  |          | Fax |
|   | Mobile            |  |  |          |  |          |     |
|   | E-mail Id         |  |  |          |  |          |     |




### Guardian Identification details (please tick any one from (a) to (f) and provide details of the same)

|  |   |                       |
|--|---|-----------------------|
| <b>A</b><br>Photograph of Guardian<br><br><i>Signature of Guardian across photograph</i> | <b>B</b> <input type="checkbox"/> PAN of Guardian   | Signature of Guardian |
|  | <b>C</b> <input type="checkbox"/> Aadhaar number of Guardian  |                       |
|  | <b>D</b> <input type="checkbox"/> Savings bank account number of Guardian, if maintained with the same Participant  |                       |
|  | <b>E</b> <input type="checkbox"/> Copy of any proof of identity document (accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure JB) |                       |
|  | <b>F</b> <input type="checkbox"/> Demat account details of Guardian   |                       |
|  | <b>DP ID</b>  |                       |
|  | <b>Client ID</b>  |                       |



## DECLARATION

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

| Name(s) of holder(s)  |  | Signature(s) of holder   |
|---|--|--|
| Sole/ First Holder/<br>Guardian (in case sole<br>holder is minor) (Mr./Ms.) |  |  4/23 |
| Second Holder (Mr./Ms.)   |  |       |
| Third Holder (Mr./Ms.)  |  |       |

**NOTES :**

1. All communication shall be sent at the address of the Sole/First holder only.
2. Thumb impressions and 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.
3. Instructions related to nomination, are as below:
  - I. 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, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.
  - II. 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.
  - III. The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
  - IV. 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.
  - V. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir.
  - VI. 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, karta of 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.
  - VII. 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.
4. 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, Participant may also terminate this facility by giving 10 days prior notice.
5. In case applicant wish to apply for BSDA/RGESS services, he/she shall submit additional request form as prescribed by regulatory authority from time to time.
6. Strike off whichever is not applicable.

**ADDITIONAL INFORMATION RELATED TO DEMAT ACCOUNT (FOR NON-INDIVIDUAL)**



**MULTIPLEX CAPITAL LTD.**

CIN: U74899DL1994PLC058767 | Member : NSE, BSE, MCX, USE • DP (NSDL) DP ID : IN302620 | SEBI REGN. NO.: IN-DP-NSDL-216-2001

Regd. Office: 100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085 Ph.: 011-47055555, Fax: 011-27561629

|                 |  |
|-----------------|--|
| Receipt No.     |  |
| Cash/Cheque No. |  |
| Amount (Rs.)    |  |
| Branch          |  |

|      |   |   |   |   |   |   |   |   |           |   |   |   |   |   |   |   |   |
|------|---|---|---|---|---|---|---|---|-----------|---|---|---|---|---|---|---|---|
| Date | D | D | M | M | Y | Y | Y | Y | Client ID | I | N | 3 | 0 | 2 | 6 | 2 | 0 |
|------|---|---|---|---|---|---|---|---|-----------|---|---|---|---|---|---|---|---|

(Please fill all the details in CAPITAL LETTERS only) We request you to open a depository account in our name as per the following details:

**A Details of Account holder(s)**

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

|  |   |                                |                               |   |
|--|---|--------------------------------|-------------------------------|---|
| B Type of Account                                      | <input type="checkbox"/> Body Corporate | <input type="checkbox"/> FI    | <input type="checkbox"/> FII  | <input type="checkbox"/> Qualified Foreign Investor |
|  | <input type="checkbox"/> Mutual Fund    | <input type="checkbox"/> Trust | <input type="checkbox"/> Bank | <input type="checkbox"/> CM                         |
| <input type="checkbox"/> Others (Please Specify) _____ |   |                                |                               |   |

**C For HUF, Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., although the account is opened in the name of the karta, partner(s), trustee(es) etc., the name & PAN of the HUF, Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., should be mentioned below:**

|      |  |     |  |  |  |  |  |  |  |  |  |  |  |  |
|------|--|-----|--|--|--|--|--|--|--|--|--|--|--|--|
| Name |  | PAN |  |  |  |  |  |  |  |  |  |  |  |  |
|------|--|-----|--|--|--|--|--|--|--|--|--|--|--|--|

**D Gross Annual Income Details**

Income Range per annum (Please tick (✓) ) :

Below 20 Lac     20-50 Lac     50Lac-1 Cr     Above 1 Crore

**OR Net-worth in ₹.** \_\_\_\_\_ as on (date) \_\_\_\_\_

(\*Net worth should not be older than 1 year)      [d|d| / |m|m| / |y|y|y|y|]

**E In case of FIIs/Others (as may be applicable)**

|                                     |  |                   |   |   |   |   |   |   |   |   |
|-------------------------------------|--|-------------------|---|---|---|---|---|---|---|---|
| RBI Approval Reference No.          |  | RBI Approval Date | D | D | M | M | Y | Y | Y | Y |
| SEBI Registration Number (for FIIs) |  |                   |   |   |   |   |   |   |   |   |

**F Bank Details**

|                     |                             |                             |  |  |  |  |  |  |  |  |  |  |  |  |
|---------------------|-----------------------------|-----------------------------|--|--|--|--|--|--|--|--|--|--|--|--|
| Bank Account Type   | <input type="checkbox"/> SB | <input type="checkbox"/> CA | <input type="checkbox"/> Others (Please specify) _____ |  |  |  |  |  |  |  |  |  |  |  |
| Bank Account Number |                             |                             |  |  |  |  |  |  |  |  |  |  |  |  |
| Bank Name           |                             |                             |  |  |  |  |  |  |  |  |  |  |  |  |
| Branch Address      |                             |                             |  |  |  |  |  |  |  |  |  |  |  |  |
|                     | City/town/village           |                             | PIN Code   |  |  |  |  |  |  |  |  |  |  |  |
|                     | State                       |                             | Country  |  |  |  |  |  |  |  |  |  |  |  |
| MICR Code           |                             |                             |  |  |  |  |  |  |  |  |  |  |  |  |
|                     |                             |                             |  |  |  |  |  |  |  |  |  |  |  |  |

|   |  |
|---|--|
| G Please tick, if applicable, for any of your authorized signatories /Promoters/Partners/Karta/Trustees/whole time directors: | <input type="checkbox"/> Politically Exposed Person (PEP)              |
|   | <input type="checkbox"/> Related to a Politically Exposed Person (PEP) |

**H Clearing Member Details (to be filled up by Clearing Members only)**

|   |  |
|---|--|
| Name of Stock Exchange                      |  |
| Name of Clearing Corporation/Clearing House |  |
| Clearing Member ID                          |  |
| SEBI Registratoin No.                       |  |
| Trade Name                                  |  |
| CM-BP-ID (to be filled up by Participant)   |  |



## I Standing Instructions

|   |  |   |
|---|--|---|
| We authorise you to receive credits automatically into our account. | <input type="checkbox"/> Yes                             | <input type="checkbox"/> No   |
| Account to be operated through Power of Attorney (PoA)              | <input type="checkbox"/> Yes                             | <input type="checkbox"/> No   |
| <b>SMS Alert facility:</b>  |  |   |
| <b>Sole / First Holder</b>  | <input type="checkbox"/> Yes <input type="checkbox"/> No | <b>Second Holder</b> <input type="checkbox"/> Yes <input type="checkbox"/> No |
|   |  | <b>Third Holder</b> <input type="checkbox"/> Yes <input type="checkbox"/> No  |






## Mode of Receiving Statement of Account [Tick any One]

|   |
|---|
| <input type="checkbox"/> Physical Form  |
| <input type="checkbox"/> Electronic Form [Read Note 4 and ensure that email ID is provided in KYC Application Form] |

## DECLARATION

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

**Authorised Signatories** (Enclose a Board Resolution for Authorised Signatories)

| Sole/First Holder    | Name | Signature(s)   |
|----------------------|------|--|
| First Signatory      |      |  5/23 |
| Second Signatory     |      |      |
| Third Signatory      |      |     |
| <b>Other Holders</b> |      |  |
| Second Holder        |      |     |
| Third Holder         |      |     |

## Mode of Operation for Sole/First Holder (In case of joint holdings, all the holders must sign)

|  |  |
|--|--|
| <input type="checkbox"/> Any one singly    | <input type="checkbox"/> Jointly by              |
| <input type="checkbox"/> As per resolution | <input type="checkbox"/> Others (please specify) |

## NOTES:

- In case of additional signatures, separate annexures should be attached to the application form.
- Thumb impressions and 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.
- For receiving Statement of Account in electronic form:
  - Client must ensure the confidentiality of the password of the email account.
  - Client must promptly inform the Participant if the email address has changed.
  - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- As per NSDL Circular No. NSDL/PI/2002/131 dated August 8, 2002, following documents may be accepted as proof of identity / proof of address:
  - Memorandum & Articles of Association (MOA & AOA), board resolution for opening, demat account and the list of authorised signatures alongwith their specimen signatures and photographs, etc.
  - Introduction by an existing account holder or by the applicant's bank.
  - Proof of address of the corporate evidenced by the document registered with Registrar of Companies or acknowledged copy of Income Tax Return or Bank Statement or Leave and License agreement/Agreement for sale.
- Strike off whichever is not applicable.

**ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT (FOR INDIVIDUAL)**



**MULTIPLEX CAPITAL LTD.**

CIN: U74899DL1994PLC058767 | Member : NSE, BSE, MCX, USE • DP (CDSL) DP ID : 12056500 | SEBI REGN. NO.: IN-DP-CDSL-261-2004

Regd. Office: 100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085 Ph.: 011-47055555, Fax: 011-27561629

|                 |  |
|-----------------|--|
| Receipt No.     |  |
| Cash/Cheque No. |  |
| Amount (Rs.)    |  |
| Branch          |  |

(To be filled by the Depository Participant)

|                           |   |      |   |   |   |   |   |   |           |   |
|---------------------------|---|------|---|---|---|---|---|---|-----------|---|
| Application No.           |   | Date | D | D | M | M | Y | Y | Y         | Y |
| DP Internal Reference No. |   |      |   |   |   |   |   |   |           |   |
| DP ID                     | 1 | 2    | 0 | 5 | 6 | 5 | 0 | 0 | Client ID |   |

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

I/We request you to open a demat account in my/our name as per the following details

**Holders Details**

|                        |     |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|------------------------|-----|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Sole/First Holder Name | PAN |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|                        | UID |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Second Holder Name     | PAN |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|                        | UID |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Third Holder Name      | PAN |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|                        | UID |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

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

**Type of Account (Please tick whichever is applicable)**

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

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


|                 |                                 |
|-----------------|---------------------------------|
| Guardian's Name |                                 |
| PAN             | Relationship with the applicant |

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



| Bank Details [Dividend Bank Details] |                   |  |  |  |  |  |  |  |  | (* 9 digit MICR Code) |   |  |  | (# 11 Character) |  |  |  |  |  |  |
|--------------------------------------|-------------------|--|--|--|--|--|--|--|--|-----------------------|---|--|--|------------------|--|--|--|--|--|--|
| MICR Code*                           |                   |  |  |  |  |  |  |  |  | IFSC Code#            |   |  |  |                  |  |  |  |  |  |  |
| Bank A/c No.                         |                   |  |  |  |  |  |  |  |  | Bank A/c Type         | <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others <u>Pl. Specify</u> |  |  |                  |  |  |  |  |  |  |
| Bank Name                            |                   |  |  |  |  |  |  |  |  | Branch Name           |   |  |  |                  |  |  |  |  |  |  |
| Bank Branch Address                  | City/town/village |  |  |  |  |  |  |  |  | PIN Code              |   |  |  |                  |  |  |  |  |  |  |
|                                      | State             |  |  |  |  |  |  |  |  | Country               |   |  |  |                  |  |  |  |  |  |  |

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)  
(ii) Photocopy of the Bank Statement having name and address of the BO  
(iii) Photocopy of the Passbook having name and address of the BO, (or)  
(iv) Letter from the Bank.  
➤ In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

| Other Details  |   |   |  |   |   |                      |  |  |                                      |  |                                  |  |  |  |                                  |  |   |  |  |
|--|---|---|--|---|---|----------------------|--|--|--------------------------------------|--|----------------------------------|--|--|--|----------------------------------|--|---|--|--|
| Gross Annual Income Details  | Income Range per annum  |   |  |   |   |                      |  |  |                                      |  |                                  |  |  |  |                                  |  |   |  |  |
|  | <input type="checkbox"/> Up to Rs. 1,00,000   |   |  | <input type="checkbox"/> Rs. 1,00,001 to Rs. 5,00,000 |   |                      | <input type="checkbox"/> Rs. 5,00,001 to Rs. 10,00,000 |  |                                      | <input type="checkbox"/> Rs. 10,00,001 to Rs. 25,00,000  |                                  |  | <input type="checkbox"/> More than Rs. 25,00,001 |  |                                  |  |   |  |  |
| Net worth as on (Date) ____/____/20__ Rs. _____ [Net worth should not be older than 1 year]      |   |   |  |   |   |                      |  |  |                                      |  |                                  |  |  |  |                                  |  |   |  |  |
| Occupation   | <input type="checkbox"/> Private / Public Sector  |   | <input type="checkbox"/> Govt. Service |   | <input type="checkbox"/> Business                                     |                      | <input type="checkbox"/> Professional                  |  | <input type="checkbox"/> Agriculture |  | <input type="checkbox"/> Retired |  | <input type="checkbox"/> Housewife               |  | <input type="checkbox"/> Student |  | <input type="checkbox"/> Others (Specify) _____ |  |  |
| Please tick, if Applicable   | <input type="checkbox"/> Politically Exposed Person (PEP)   |   |  |   | <input type="checkbox"/> Related to Politically Exposed Person (RPEP) |                      |  |  |                                      |  |                                  |  |  |  |                                  |  |   |  |  |
| Any other information  |   |   |  |   |   |                      |  |  |                                      |  |                                  |  |  |  |                                  |  |   |  |  |
| SMS Alerts Facility  | Mobile No.  | + | 9                                      | 1   |   |                      |  |  |                                      |  |                                  |  |  |  |                                  |  |   |  |  |
| Refer to Terms & Conditions given as Annexure 2.4  | <b>[(Mandatory , if you are giving Power of Attorney ( POA)]</b><br><b>(If POA is not granted &amp; you do not wish to avail of this facility, cancel this option).</b>   |   |  |   |   |                      |  |  |                                      |  |                                  |  |  |  |                                  |  |   |  |  |
| Transactions Using Secured Texting Facility (TRUST) Refer to Terms and Conditions Annexure - 2.6 | I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No |   |  |   |   |                      |  |  |                                      |  |                                  |  |  |  |                                  |  |   |  |  |
|  | I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST   |   |  |   |   |                      |  |  |                                      |  |                                  |  |  |  |                                  |  |   |  |  |
|  | Stock Exchange Name / ID  |   |  |   |   | Clearing Member Name |  |  |                                      |  | Clearing Member ID (Optional)    |  |  |  |                                  |  |   |  |  |
|               |   |   |  |   |   |                      |  |  |                                      | To register for easi, please visit our website : <a href="http://www.cdslindia.com">www.cdslindia.com</a><br>Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online. |                                  |  |  |  |                                  |  |   |  |  |

| Nomination Details   |  |  |  |  |                      |  |  |  |  |
|--|--|--|--|--|----------------------|--|--|--|--|
| I/We the Sole Holder / Joint Holder / Guardian (in case of minor) hereby declare that  |  |  |  |  |                      |  |  |  |  |
| <input type="checkbox"/> I/We do not wish to nominate any one for this demat account   |  |  |  |  | Nomination Regn. No. |  |  |  |  |
| <input type="checkbox"/> I/We nominate the following person who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of my/our death. |  |  |  |  | Dated                |  |  |  |  |
| Full Name of the Nominee   |  |  |  |  |                      |  |  |  |  |
| Address  |  |  |  |  |                      |  |  |  |  |
| City/town/village  |  |  |  |  | PIN Code             |  |  |  |  |
| State  |  |  |  |  | Country              |  |  |  |  |
| Telephone No.  |  |  |  |  | Fax No.              |  |  |  |  |
| PAN  |  |  |  |  | UID                  |  |  |  |  |
| E-mail ID  |  |  |  |  |                      |  |  |  |  |
| Relationship with BO (if any)  |  |  |  |  |                      |  |  |  |  |
| Date of Birth (mandatory If nominee is a minor)  |  |  |  |  |                      |  |  |  |  |



## CDSL

As the nominee is a minor as on date, to receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders, I/We appoint following person to act as Guardian:




|                                       |                   |  |         |          |  |
|---------------------------------------|-------------------|--|---------|----------|--|
| Full name of Guardian of Nominee      |                   |  |         |          |  |
| Address                               |                   |  |         |          |  |
|                                       | City/town/village |  |         | PIN Code |  |
|                                       | State             |  |         | Country  |  |
| Telephone No.                         |                   |  | Fax No. |          |  |
| E-mail ID                             |                   |  |         |          |  |
| Relationship of Guardian with Nominee |                   |  |         |          |  |

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

Note : Two witnesses shall attest signature(s) / thumb impression(s)

| DETAILS OF THE WITNESS |               |                |
|------------------------|---------------|----------------|
|                        | First Witness | Second Witness |
| Name of witness        |               |                |
| Address of witness     |               |                |
| Signature of witness   |               |                |

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

|           | First/Sole Holder or Guardian (in case of Minor)   | Second Holder   | Third Holder  |
|-----------|--|---|---|
| Name      |  |   |   |
| Signature |  6/23 |  |  |

(Signatures should be preferably in black ink ).

**ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT (FOR NON-INDIVIDUAL)**



**MULTIPLEX CAPITAL LTD.**

CIN: U74899DL1994PLC058767 | Member : NSE, BSE, MCX, USE • DP (CDSL) DP ID : 12056500 | SEBI REGN. NO.: IN-DP-CDSL-261-2004

Regd. Office: 100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085 Ph.: 011-47055555, Fax: 011-27561629

|                 |  |
|-----------------|--|
| Receipt No.     |  |
| Cash/Cheque No. |  |
| Amount (Rs.)    |  |
| Branch          |  |

(To be filled by the Depository Participant)

|                           |   |      |   |   |   |   |   |   |           |   |
|---------------------------|---|------|---|---|---|---|---|---|-----------|---|
| Application No.           |   | Date | D | D | M | M | Y | Y | Y         | Y |
| DP Internal Reference No. |   |      |   |   |   |   |   |   |           |   |
| DP ID                     | 1 | 2    | 0 | 5 | 6 | 5 | 0 | 0 | Client ID |   |

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

I/We request you to open a demat account in my/our name as per the following details

**Holders Details**

|                        |             |     |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|------------------------|-------------|-----|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Sole/First Holder Name | Search Name | PAN |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|                        |             | UID |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Second Holder Name     |             | PAN |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|                        |             | UID |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Third Holder Name      |             | PAN |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|                        |             | UID |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

Name \*

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

**Type of Account (Please tick whichever is applicable)**

| Status   |   | Sub - Status           |  |
|--|---|------------------------|--|
| <input type="checkbox"/> Body Corporate <input type="checkbox"/> Bank <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FI |   | To be filled by the DP |  |
| <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Others (Specify) _____  |   |                        |  |
| SEBI Registration No. (if Applicable)  |   | SEBI Regn. Date        |  |
| RBI Registration No. (if Applicable)   |   | RBI Approval Date      |  |
| Nationality  | <input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____ |                        |  |

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

**Clearing Member Details (To be filled by CMs only)**

|   |  |                   |  |  |  |  |  |  |  |   |
|---|--|-------------------|--|--|--|--|--|--|--|---|
| Name of Stock Exchange  |  |                   |  |  |  |  |  |  |  |   |
| Name of CC/CH   |  |                   |  |  |  |  |  |  |  |   |
| Clearing Member Id  |  | Trading member ID |  |  |  |  |  |  |  |   |
| I/We wish to receive dividend / interest directly in to my bank account given below through ECS (if not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time ] |  |                   |  |  |  |  |  |  |  | <input type="checkbox"/> Yes<br><input type="checkbox"/> No |



| Bank Details [Dividend Bank Details] |                   |  |  |  |  |  |  |  |  | (* 9 digit MICR Code) |   |  |  |  | (# 11 Character) |  |  |  |  |  |
|--------------------------------------|-------------------|--|--|--|--|--|--|--|--|-----------------------|---|--|--|--|------------------|--|--|--|--|--|
| Bank Code*                           |                   |  |  |  |  |  |  |  |  | IFSC Code#            |   |  |  |  |                  |  |  |  |  |  |
| Bank A/c No.                         |                   |  |  |  |  |  |  |  |  | Bank A/c Type         | <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others <u>Pl. Specify</u> |  |  |  |                  |  |  |  |  |  |
| Bank Name                            |                   |  |  |  |  |  |  |  |  | Branch Name           |   |  |  |  |                  |  |  |  |  |  |
| Bank Branch Address                  | City/town/village |  |  |  |  |  |  |  |  | PIN Code              |   |  |  |  |                  |  |  |  |  |  |
|                                      | State             |  |  |  |  |  |  |  |  | Country               |   |  |  |  |                  |  |  |  |  |  |

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
- (ii) Photocopy of the Bank Statement having name and address of the BO
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank.
  - In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

| Other Details   |  |                          |                               |                               |  |  |  |  |  |  |
|---|--|--------------------------|-------------------------------|-------------------------------|--|--|--|--|--|--|
| Gross Annual Income Details   | Income Range per annum<br><input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,001 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,001 to Rs. 10,00,000<br><input type="checkbox"/> Rs. 10,00,001 to Rs. 25,00,000 <input type="checkbox"/> Rs. 25,00,001 to Rs. 1,00,00,000 <input type="checkbox"/> More than Rs. 1,00,00,000     |                          |                               |                               |  |  |  |  |  |  |
|   | Net worth as on (Date) ____/____/20__ Rs. _____ [Net worth should not be older than 1 year]  |                          |                               |                               |  |  |  |  |  |  |
| Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) . Please provide details as per Annexure 2.2A. |  |                          |                               |                               |  |  |  |  |  |  |
| Any other information   |  |                          |                               |                               |  |  |  |  |  |  |
| SMS Alerts Facility   | Mobile No.   +   9   1   _____   |                          |                               |                               |  |  |  |  |  |  |
| Refer to Terms & Conditions given as Annexure 2.4   | <b>[(Mandatory , if you are giving Power of Attorney ( POA)]</b><br><b>(If POA is not granted &amp; you do not wish to avail of this facility, cancel this option).</b>  |                          |                               |                               |  |  |  |  |  |  |
| Transactions Using Secured Texting Facility (TRUST) Refer to Terms and Conditions Annexure - 2.6  | I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No<br>I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST |                          |                               |                               |  |  |  |  |  |  |
|   | <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width: 33%;">Stock Exchange Name / ID</th> <th style="width: 33%;">Clearing Member Name</th> <th style="width: 33%;">Clearing Member ID (Optional)</th> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </table>               | Stock Exchange Name / ID | Clearing Member Name          | Clearing Member ID (Optional) |  |  |  |  |  |  |
|   | Stock Exchange Name / ID   | Clearing Member Name     | Clearing Member ID (Optional) |                               |  |  |  |  |  |  |
|   |  |                          |                               |                               |  |  |  |  |  |  |
|   |  |                          |                               |                               |  |  |  |  |  |  |
| To register for easi, please visit our website : <a href="http://www.cdslindia.com">www.cdslindia.com</a><br>Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.  |  |                          |                               |                               |  |  |  |  |  |  |

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

|             | Sole / First Authorised Signatory | Second Authorised Signatory | Third Authorised Signatory |
|-------------|-----------------------------------|-----------------------------|----------------------------|
| Name        |                                   |                             |                            |
| Designation |                                   |                             |                            |
| Signature   | 7/23                              |                             |                            |

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

**Definitions :**

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

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

**Availability :**

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

alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

**Receiving Alerts :**

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

 8/23

.....  
Sole/First Holder Signature



.....  
Second Holder Signature



.....  
Third Holder Signature

communication between the service provider and the depository.

7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

**Fees :**

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

**Disclaimer :**

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

**Liability and Indemnity :**

The Depository shall not be liable for any breach of confidentiality

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

by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

**Amendments :**

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




**Governing Law and Jurisdiction :**

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

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

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

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

|  |   |   |   |   |   |   |   |   |                  |   |   |   |  |  |            |  |  |  |  |
|--|---|---|---|---|---|---|---|---|------------------|---|---|---|--|--|------------|--|--|--|--|
| <b>DP ID</b>   | 1 | 2 | 0 | 5 | 6 | 5   | 0 | 0 | <b>Client ID</b> |   |   |   |  |  |            |  |  |  |  |
| First Holder's Name : _____  |   |   |   |   |   |   |   |   |                  |   |   |   |  |  |            |  |  |  |  |
| Second Holder's Name : _____   |   |   |   |   |   |   |   |   |                  |   |   |   |  |  |            |  |  |  |  |
| Third Holder's Name : _____  |   |   |   |   |   |   |   |   |                  |   |   |   |  |  |            |  |  |  |  |
| Mobile No. on which messages are to be sent  |   |   |   |   |   |   |   |   |                  | + | 9 | 1   |  |  |            |  |  |  |  |
| (Please write only the mobile number without prefixing country code or zero)                           |   |   |   |   |   |   |   |   |                  |   |   |   |  |  |            |  |  |  |  |
| The Mobile Number is registered in the name of : _____   |   |   |   |   |   |   |   |   |                  |   |   |   |  |  |            |  |  |  |  |
| E-mail Id: _____   |   |   |   |   |   |   |   |   |                  |   |   |   |  |  |            |  |  |  |  |
| (Please write only ONE valid email Id on which communication; if any, is to be sent)                   |   |   |   |   |   |   |   |   |                  |   |   |   |  |  |            |  |  |  |  |
|  9/23               |   |   |   |   |   |  |   |   |                  |   |   |  |  |  |            |  |  |  |  |
| Sole/First Holder Signature  |   |   |   |   |   | Second Holder Signature   |   |   |                  |   |   | Third Holder Signature  |  |  |            |  |  |  |  |
| <b>IN CASE OF JOINT HOLDERS, ALL JOINT HOLDERS MUST SIGN.</b>  |   |   |   |   |   |   |   |   |                  |   |   |   |  |  |            |  |  |  |  |
| <b>* Please do not use correction fluid, all cuttings must be attested by all the joint holder(s).</b> |   |   |   |   |   |   |   |   |                  |   |   |   |  |  |            |  |  |  |  |
| Place:.....  |   |   |   |   |   |   |   |   |                  |   |   |   |  |  | Date:..... |  |  |  |  |



**RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT  
AS PRESCRIBED BY SEBI AND DEPOSITORIES**

**General Clause**

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

**Beneficial Owner information**

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

**Fees/Charges/Tariff**

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

**Dematerialization**

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

**Separate Accounts**

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

**Transfer of Securities**

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

**Statement of account**

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

**Manner of Closure of Demat account**

17. The DP shall have the right to close the demat account of the

(Please Tear Here)

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

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

**Default in payment of charges**

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

**Liability of the Depository**

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

**Freezing/ Defreezing of accounts**

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to

freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

**Redressal of Investor grievance**

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

**Authorized representative**

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

**Law and Jurisdiction**

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

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**ACKNOWLEDGEMENT**

I/We acknowledge the receipt of copy of 'Right and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories'. I/We have read and understood the contents of these and agree to abide by them.

 10/23

Sole/First Holder Signature



Second Holder Signature



Third Holder Signature

## FORMAT OF THE BOARD RESOLUTION

(on letter head of company)

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED BY THE BOARD OF DIRECTORS OF \_\_\_\_\_  
\_\_\_\_\_ AT THEIR MEETING HELD ON \_\_\_\_\_ AT THEIR REGISTERED  
OFFICE \_\_\_\_\_

1. Resolved that a Corporate Beneficiary/ Clearing Member Account be opened for depository purpose with Multiplex Capital Ltd., Regd. Office 100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085.
2. Further Resolved that Mr. \_\_\_\_\_, and Mr. \_\_\_\_\_ Authorised Signatory of the company whose specimen signatures are attested below be jointly/severally authorised to sign on behalf of the company, all documents and forms relating to such account (in relation to debit or credit or otherwise) in such forms as may be required by Multiplex Capital Limited and further any instructions, indemnities and counter indemnities which may be required by Multiplex Capital Limited from the company in connection with the above mentioned account.
3. That this resolution be communicated to Multiplex Capital Limited and remain in force until notice in writing be given to Multiplex Capital Limited

For: \_\_\_\_\_

Specimen Signature of :

Mr. \_\_\_\_\_

Mr. \_\_\_\_\_

Director : \_\_\_\_\_

Attested by

Director

## INTRODUCTION

(by an existing account holder/applicant's bank)

DP-ID IN \_\_\_\_\_ Client ID \_\_\_\_\_ (In case of existing account holder.)

I confirm the identity and address of the applicant(s)

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

Address : \_\_\_\_\_

: \_\_\_\_\_

Signature of Introducer/Signature and  
Seal in case of Bank (To be verified by DP Official)

**AUTHORISATION FOR PROVIDING DP TRANSACTION STATEMENT BY EMAIL OR ON WEBSITE**

To,  
**MULTIPLEX CAPITAL LTD.**  
 Regd. Office: 100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085

Dear Sir,

As per clause 6 of DP Client agreement you are required to provide me/us transaction statement including statement of account.

1. I/we understand that, I/we have the option to receive transaction statement by email or on website. in pursuance of the same, I/We hereby opt for receipt of transaction statement (including but not limited to statement of account holding statement or any other communication) through email .....or on website.
2. I/we is/are aware that I/we will not receive the transaction statement in paper form.
3. I/we will take all the necessary means to ensure confidentiality and secrecy of the login name and password of the internet/email account.
4. I/we, is/are aware that the transaction statement may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised, in which case. I/we shall not hold you responsible in any manner.
5. I/we shall immediately inform the DP about change in email address if any, in case transaction statement are send by email.
6. I/we/you shall have the right to terminate this service by giving a 10 days written notice in advance.

Thanking you,  
 Yours faithfully

 11/23  
 .....  
 Sole/First Holder Signature

  
 .....  
 Second Holder Signature

  
 .....  
 Third Holder Signature

Place : .....

Date : .....

**DECLARATION TO BE GIVEN BY HUF ON THE LETTER HEAD OF THE HUF**

To,  
**MULTIPLEX CAPITAL LTD.**  
 Regd. Office: 100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085

Dear Sir,

We, all the coparceners (members) detailed below of the Hindu Undivided Family having PAN No. ....do here by authorize Karta of the family Mr....., to open /operate in the name of this HUF a dealing / trading account and inter-alia to open and / or operate accounts with a Depository Participant and to issue notices and instructions relating to transfer , pledging , dematerializing or Rematerializing , orders , execute deals through you for and on behalf of the above named HUF and we state that we are and shall always be jointly and severally responsible for the dealings/ orders / trades / transactions that are executed by the karta Mr..... and all his orders /deals shall be binding on the HUF and all its members jointly as well as severally.

In the eventuality of change of Karta or change in the constitution of HUF we shall inform you in writing and understand that we are required to collect from you an acknowledgement of having taken the same on record.

The Specimen signature of the Karta Mr. .... is given below:

Specimen Signature in full.....

Thanking you,  
 Yours faithfully,

| Name of the Co-Parceners | Sex | Date of Birth | Relationship with the Karta | Signature of the Co-Parceners |
|--------------------------|-----|---------------|-----------------------------|-------------------------------|
|                          |     |               |                             |                               |
|                          |     |               |                             |                               |
|                          |     |               |                             |                               |
|                          |     |               |                             |                               |
|                          |     |               |                             |                               |

**SCHEDULE - A : SCHEDULE OF CHARGES FOR DEPOSITORY SERVICES (NSDL)**



**Corporate / Individual / Clearing Member Account**

**MULTIPLEX CAPITAL LIMITED**

**Member : NSE, BSE, MCX-SX, USE**

**DP (NSDL) DP ID: IN302620, SEBI Regn. No.: IN-DP-NSDL-216-2001**

Regd. Office: 100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085

Ph : 011-47055555 | Fax : 011-27561629

E-mail : info@multiplexcapital.com | Website : www.multiplexcapital.com

Client ID \_\_\_\_\_

| DESCRIPTION                                 | <input type="checkbox"/> OPTION-1  | <input type="checkbox"/> OPTION-2 | <input type="checkbox"/> CM A/c   | <input type="checkbox"/> CORP A/c |
|---|--|-----------------------------------|---|-----------------------------------|
| Account Opening Charges                     | NIL  | NIL                               | NIL   | NIL                               |
| Annual Maintenance Charge                   | ₹250/- (p.a)   | ₹750/-*                           | ₹500/- per quarter(CM a/c)  | ₹800/-(p.a)                       |
| Transaction Charges :                       |  |                                   |   |                                   |
| Mkt./Off Mkt Delivery Per /T                | ₹13/-  | ₹11/-                             |   | ₹11/-                             |
| Mkt./Off Mkt. Receipt/CM a/c Credit, payout | Free   | Free                              | ₹1.50/- per instruction minimum ₹2000/- and maximum of ₹7000/- per quarter per CM |                                   |
| Inter Settlement                            | ₹10/-Per instruction   | ₹10/-Per instruction              |   | ₹10/-Per ins.                     |
| Pool to Pool                                | ₹10/- Per instruction  | ₹10/-Per instruction              |   | ₹10/-Per ins.                     |
| Common Charges to all scheme                |  |                                   |   |                                   |
| Demat Charges                               | ₹2/- Per Certificate (Min. 5 Cert.) + ₹25/- Courier  |                                   |   |                                   |
| Dematerialisation Request Form              | ₹1/- Per Form  |                                   |   |                                   |
| Demat Rejection Charges                     | ₹40/- Per Rejection  |                                   |   |                                   |
| Remat Charges                               | Per request courier charges ₹35/- and a fee of ₹12 for every hundred securities or part thereof or a flat of ₹20/- per Certificate. Whichever is higher. |                                   |   |                                   |
| Instruction Book Charges                    | ₹15/- (10 Leaf) ₹40/- ( 50 Leaf)   |                                   |   |                                   |
| Pledge/Hypothecation Creation/Confirmation  | ₹50/- Per Transaction  |                                   |   |                                   |
| Invocation                                  | ₹25/- Per Instruction  |                                   |   |                                   |
| Speed-e & Ideas for P/W User                | ₹50/- Per Quarter  |                                   |   |                                   |
| Speed-e Smart Card User                     | ₹150/- Per Annual  |                                   |   |                                   |
| Ideas                                       | ₹15/- Per Quarter  |                                   |   |                                   |

Note :

1. Cost of Opening Account Form is NIL however client will bear the cost for agreement between Depository Participant Client.
2. The aforesaid charges are subject change with 30 days prior notice from time to time at the management.
3. Any other services not specified above shall be charges extra.
4. Non periodic statement and other communication shall be charges @ 5/- Per Page and actual postage / co charges are @ Rs. 20/- per mail.

\*NOTE : Life-time AMC free\*

Kindly enroll me/us for option

12/23

Sole/First Holder Name & Signature

Second Holder Name & Signature

Third Holder Name & Signature



**SCHEDULE - A : SCHEDULE OF CHARGES FOR DEPOSITORY SERVICES (CDSL)**



**Corporate / Individual / Clearing Member Account**

**MULTIPLEX CAPITAL LIMITED**

**Member : NSE, BSE, MCX-SX, USE**

**DP (CDSL) DP ID: 12056500, SEBI Regn. No.: IN-DP-CDSL-261-2004**

Regd. Office: 100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085

Ph : 011-47055555 | Fax : 011-27561629

E-mail : info@multiplexcapital.com | Website : www.multiplexcapital.com

Client ID \_\_\_\_\_

| DESCRIPTION                                    | <input type="checkbox"/> OPTION-1  | <input type="checkbox"/> OPTION-2 | <input type="checkbox"/> CM A/c   | <input type="checkbox"/> CORP A/c |
|--|--|-----------------------------------|---|-----------------------------------|
| Account Opening Charges                        | NIL  | NIL                               | NIL   | NIL                               |
| Annual Maintenance Charge                      | ₹250/- (p.a)   | ₹750/-*                           | NIL   | ₹800/-(p.a)                       |
| Transaction Charges :                          |  |                                   |   |                                   |
| Mkt./Off Mkt Delivery Per /T                   | ₹12.-  | ₹12/-                             |   | ₹11/-                             |
| Mkt./Off Mkt. Receipt/CM a/c<br>Credit, payout | Free   | Free                              | Flat charge of ₹800 per month on CM accounts (per CM per exchange) for pay-in and pay-outs received from CH |                                   |
| Inter Settlement                               | ₹10/ -Per instruction  | ₹10/ -Per instruction             |   | ₹10/ -Per ins.                    |
| Pool to Pool                                   | ₹10/- Per instruction  | ₹10/ -Per instruction             |   | ₹10/ -Per ins.                    |
| Common Charges to all scheme                   |  |                                   |   |                                   |
| Demat Charges                                  | ₹20 per DRF plus ₹3.00 Per Certificate (Min. 5 Cert.).   |                                   |   |                                   |
| Demat Rejection Charges                        | ₹30/- Per Rejection  |                                   |   |                                   |
| Remat Charges                                  | ₹20/- for every 100 securities or part thereof or flat fee of ₹20/- per certificate whichever is higher will be payable. |                                   |   |                                   |
| Instruction Book Charges                       | ₹12/- (10 Leaf)  |                                   |   |                                   |
| Pledge/Hypothecation Creation/Confirmation     | ₹40.00 Per Transaction (Option 1), ₹50.00 Per transaction (Option 2)   |                                   |   |                                   |
| Invocation                                     | ₹20.00 Per Instruction (Option 1), ₹25.00 Per transaction (Option2)  |                                   |   |                                   |

Note :

1. Cost of Opening Account Form is NIL however client will bear the cost for agreement between Depository Participant Client.
2. The aforesaid charges are subject change with 30 days prior notice from time to time at the management.
3. Any other services not specified above shall be charges extra.
4. Non periodic statement and other communication shall be charges @ 5.00 Per Page and actual postage / co charges are @ ₹20/- per mail.

\*NOTE : Life-time AMC free\*

Kindly enroll me/us for option.

13/23

Sole/First Holder Name & Signature

Second Holder Name & Signature

Third Holder Name & Signature



## RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS

### *As prescribed by SEBI and Stock Exchanges*

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

#### **CLIENT INFORMATION**

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

#### **MARGINS**

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

#### **TRANSACTIONS AND SETTLEMENTS**

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Byelaws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

#### **BROKERAGE**

18. The Client shall pay to the stock broker brokerage and



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

#### **LIQUIDATION AND CLOSE OUT OF POSITION**

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

#### **DISPUTE RESOLUTION**

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

authorizing the said representative to deal on behalf of the said client/stock-broker.

#### **TERMINATION OF RELATIONSHIP**

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

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

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one

working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

#### **ELECTRONIC CONTRACT NOTES (ECN)**

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

mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.

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

#### **LAW AND JURISDICTION**

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

## INTERNET &amp; WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT

***(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)***

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/ Exchanges.



## RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

In considering whether to trade or authorize someone to trade for

you, you should be aware of or must get acquainted with the following:-

### 1. BASIC RISKS:

#### 1.1 Risk of Higher Volatility

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

#### 1.2 Risk of Lower Liquidity

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

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

#### 1.3 Risk of Wider Spreads

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

#### 1.4 Risk-reducing orders

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain

amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

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

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

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

## **1.5 Risk of News Announcements**

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

## **1.6 Risk of Rumors**

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

## **1.7 System Risk**

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

**1.7.1** During periods of volatility, on account of market participants continuously modifying

their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

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

## **1.8 System/Network Congestion:**

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

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

### **2.1 Effect of "Leverage" or "Gearing":**

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

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

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

**B.** If you fail to deposit the additional amount by the

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

- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

## 2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

## 2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price

of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

## 2.4 Risks of Option Writers:

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

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

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

## 4. GENERAL

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



**BEFORE YOU BEGIN TO TRADE**

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

**TRANSACTIONS AND SETTLEMENTS**

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on **stock exchanges' websites**, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
  - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
  - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the

retention of funds and securities and the details of the pledged shares, if any.

- c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
  - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
  15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

**IN CASE OF TERMINATION OF TRADING MEMBERSHIP**

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

**DISPUTES/COMPLAINTS**

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



## POLICIES &amp; PROCEDURES

**1. Refusal of orders for penny stocks,**

- a. The broker may from time to time limit (quantity/ value) / refuse orders in one or more securities due to various reasons including market liquidity, value of security (ies), the order being for securities which are not in the permitted list of the broker / exchange(s) / regulator. Provided further that broker may require compulsory settlement / advance payment of expected settlement value/delivery of securities for settlement prior to acceptance / placement of order(s) as well. The client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client alone.
- b. The broker may require reconfirmation of orders, which are larger than that specified by the broker's risk management, and broker would have full discretion to reject the execution of such orders based on its risk perception.

**2. Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.**

- a. The broker may from time to time impose and vary limits on the orders that the client can place through the broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the broker may need to vary or reduce the limits or impose new limits urgently on the basis of the broker's risk perception and other factors considered relevant by the broker including but not limited to limits on account of exchange/ regulatory directions/ limits (such as broker level/ market level limits in security specific / volume specific exposures etc.), and the broker may be unable to inform the client of such variation, reduction or imposition in advance. The broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the broker's trading system on account of any such variation, reduction or imposition of limits. Further the broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by broker / exchange/ regulator and any other reasons which the broker may deem appropriate in the circumstances. The losses, if any

on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

- b. The client is not entitled to trade without adequate margin / security and that it shall be his / her / its responsibility to ascertain beforehand the margin / security requirements for his / her /its orders / trades /deals and to ensure that the required margin / security is made available to the broker in such form and manner as may be required by the broker. If the client's order is executed despite a shortfall in the available margin, the client, shall, whether or not the broker intimates such short fall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he /she /it shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) &/ or any claim / loss/ damage arising out of the non-availability /shortage of margin /security required by the broker & / or exchange &/or regulator.
- c. The broker is entitled to vary the form (i.e., the replacement of the margin / security in one form with the margin / security in any other form, say, in the form of money instead of shares) &/or quantum &/or percentage of the margin & / or security required to be deposited / made available, from time to time. The margin /security deposited by the client with the broker are not eligible for any interest unless specifically agreed to.
- d. The broker is entitled to include /appropriate any /all pay out of funds & / or securities towards margin / security without requiring specific authorizations for each pay out. The broker is entitled to transfer funds &/ or securities from his account for one exchange & / or one segment of the exchange to his / her / its account for another exchange & / or another segment of the same exchange whenever applicable and found necessary by the broker. The client also agrees and authorises the broker to treat / adjust his / her/ its margin / security lying in one exchange & / or one segment of the exchange / towards the margin / security / pay in requirements of another exchange & / or another segment of the exchange.
- e. The broker is entitled to disable / freeze the account & / or trading facility / any other service facility, if, in the opinion of the broker, the client has committed a crime / fraud or has acted in contradiction of this agreement or / is likely to evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the broker so apprehends.

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### 3. **Applicable brokerage rate**

- a. The broker is entitled to charge brokerage within the limits imposed by exchange which at present is as under:
  - i. The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market/ Futures/Currency and Interest rate futures segment of the Exchange shall be 2.5 % of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale / purchase value of a share is Rs.10/- or less in capital market segment, a maximum brokerage of 25 paise per share may be collected.
  - ii. Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract. It is hereby further clarified that brokerage on options contracts shall not exceed 2.5% of the premium amount or Rs.100/- (per lot) whichever is higher.

### 4. **Imposition of penalty/delayed payment charges by either party, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws)**

- a. Any amounts which are overdue from the client towards trading or on account of any other reason to the broker will be charged from the client with delayed payment charges at such rates as may be determined by the broker. The client should not indulge in trading activity which is against law, rules and regulations.
- b. Clients trading activity should not be aimed at disturbing market equilibrium or manipulating market prices etc. If the client does so, the broker may keep in abeyance the Pay-out funds or securities till such time that the client has been able to clearly demonstrate that his actions were not mala fide in any manner.
- c. The broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client. The client agrees to pay to the accept any payments in any form after such deadline for margin/security expires. Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund/ security or to meet the funds/margins/securities pay in obligations for the orders /

trades / deals of the client within the prescribed time and form, the broker shall have the right without any further notice or communication to the client to take any one or more of the following steps:

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

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

- a. The broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the broker from the exchange, the clearing corporation/ clearing house or other company or entity liable to make the payment and the client has fulfilled his / her/ its obligations first. The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:
  - b. The short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Pay-in/Pay-out Day. The securities delivered short are purchased from market on T+3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
  - c. If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T+3 day or Auction day on Exchange +10%. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.

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- d. In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction Pay-out is after the book closure /record date, would be compulsorily closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

**7. Temporarily suspending or closing a client's account at the client's request, and**

The client may request the broker to temporarily suspend his account, broker may do so subject to client accepting / adhering to conditions imposed by broker including but not limited to settlement of account and/ or other obligation. The broker can withhold the Pay-outs of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

**8. Deregistering a client.**

Not with standing anything to the contrary stated in the client broker documents, the broker shall be entitled to suspend the account of client with immediate effect and if need be deregister the client in any of the following circumstances:

- i If the actions of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal /proper functioning of the market, either alone or in conjunction with others.
- ii If there is any commencement of a legal process against the client under any law in force;
- iii On the death/lunacy or other disability of the client;
- iv. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the client;
- v. If the client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- vi. If the client being a partnership firm, has any steps taken by the client and/ or its partners for dissolution of the partnership;
- vii. If the client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- viii. If the client has made any material misrepresentation of facts, Including (without limitation) In relation to the

Security;

- ix. If there is reasonable apprehension that the client is unable to pay its debts or the client has admitted Its inability to pay its debts, as they become payable;
- x. If the client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the broker;
- xi. If the client is in breach of any term, condition or covenant with the broker.
- xii. If any covenant or warranty of the client is incorrect or untrue in any material respect;

**9. Other significant policies and procedures**

**a. Proprietary Trading**

The broker do undertake proprietary trading.

**b. Trading Related**

- i. The relationship being established between the client and the broker shall be that of principal and agent and the broker shall be the agent of the client. The client is required to make independent enquiries and satisfy himself that he is entitled to enter into the broker client relationship with the broker in the jurisdiction in which the client resides.
- ii. The broker recommends that client places orders in writing and takes acknowledgement as per the format available from the broker, so as to avoid any future disputes. The client may also choose to place orders verbally (by visiting the branch or through telephone), through e-mail, SMSs and /or through Internet based trading terminal which can be provided to the client upon requirement of client. The client may authorize his authorized representative to carry out the above whose orders shall be binding on the client.
- iii. The broker advises that it is preferable that client gives orders on the day the client desires trades, including orders for modification/cancellation, which the broker will punch in the trading system on a best efforts basis. However if client chooses to give orders in aftermarket hours than upon specific instruction of the client the broker may attempt to enter them in the trading system on the next trading day however it may not be possible in all instances to do so.
- iv. Orders given by client may or may not result in trades and the client should continuously monitor the final outcome of the order. Where orders have resulted in trades the same may or may not result in delivery and the client should continuously monitor his pay in / Pay-out obligations.
- v. No employee, sub broker, director or any other agent of the broker is authorized to give any assurances of profits, or to

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- manage the account of the client in any discretionary manner. The client must make his own decisions regarding suitability of orders/investments and if need be rely upon his own independent advisers whether in matters of orders/trades or in the matters relating to taxation etc. Accordingly the client should not enter into any personal/private mutual understanding with any employee, sub broker, director or any other agent of the broker.
- vi. The broker uses trading platforms such as ODIN/ Fast Trade etc. which are exchange approved however there is no guarantee/warranty that these are bug / glitch free and the client may in rare occasions suffer losses which he should keep in mind while dealing through the broker.
  - vii. Where prima-facie it appears that trading system is suffering from some problems such as incorrect positions being shown etc. the client should refrain from trading and immediately bring the problem to the notice of the broker and act only after the problem has been resolved. If broker or any other clients suffer on account of actions of the client in such situations the client will be liable to make good the losses suffered by broker or other clients.
  - viii. The broker may tape record conversations of the client over telephone/in person however the broker shall not be obliged to do so and absence of availability of recordings shall not render any order/transaction unenforceable against the client, inasmuch as the orders can be placed over mobile phones, through visiting the branch and the recorded orders are also liable to damage/erasure on account of virus/capacity overrun of the machine.
  - ix. As a measure of risk containment the broker may subject orders of the client to prior risk control assessment (such as checking availability of margin) before allowing the same to go into the trading system
  - x. The broker may provide market research through e-mail, SMSs, website, printed material or through discussions however the same is provided without any warranty or guarantee or suitability for the client and is provided on an as is where is basis and broker recommends that client may get the same examined through his personal financial/legal advisers as deemed fit. The facilities/data/research shall be provided to client on as is where is basis only for personal use and all rights in the same shall exclusively rest with the broker, and client is not entitled to share it whether for consideration or otherwise with any third party without a formal written authorisation by the broker. In the event of a breach the broker shall be entitled to bring legal action against the client.
  - xi. The broker issues contract notes with the order number and trade number and therefore shall not be providing order confirmation and trade confirmation slips to the client.
  - xii. The broker may send various information such as, documents, bills, margin statements, statement of accounts etc., to the client through any one or more of the following means i.e. post, registered post, speed post, courier, telegram, , voice mail, SMS, telephone, messages on trading platform, through word of mouth by the agents of the broker, by displaying it on the website of the broker or making it available as a download from the website of the broker, displaying it on the notice board of the branch, newspaper advertisements or if circumstances so require, by broadcast over radio/television and where the client has provided email address, then these informations may also be sent by the broker through email. The service providers such as postal authorities, Courier Company, phone / SMS service providers etc., shall be agents of the client and the delivery of the information shall be complete when the broker delivers the communications to such service providers.
  - xiii. The client should review all information sent to the client immediately upon the receipt of the same and revert the discrepancy if any (including if any trades in the account are not as per client directions/ orders) to allow the brokers to take remedial steps if any are possible.
  - xiv. The broker may pledge the securities of client lying with it as margin/collateral with third parties such as banks etc. to meet settlement / margin obligation.
  - xv. The client shall forthwith cease trading and inform the broker in the event the client becomes ineligible to deal with the broker on account of any court, exchange or regulatory action.
  - xvi. The broker shall be entitled to disseminate information about defaults made by the client to third parties.
  - xvii. The client shall not work as a sub broker/authorised person without prior written permission of the broker and only after seeking appropriate registration with respective registering authorities.
  - xviii. The client shall also not deal through the broker of an exchange of which the client himself is a member / Sub Broker / Authorised Person.
  - xix. The broker shall be entitled to maintain combined/ collective books of accounts of the client across exchanges and/or other services such as depositories etc.
  - xx. The client shall maintain a regular watch on his account

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- including on his margin/collateral and ensure payment well before the due dates so that the broker may not be required to liquidate/close out any margin/open positions.
- xxi. The records as provided by the broker through contract notes, bills, statement of accounts, statement of margin etc. shall be the official records to determine the obligations of broker and the client. Printouts taken from trading system or any such downloads etc. which are taken by the client from trading system may not give the correct picture and therefore shall not be the official record which bind the broker and the client.
  - xxii. The client shall upgrade to the newer versions of trading software/back-office software etc. on account of changes made by the broker and/or any other service provider like depositories/Banks.
  - xxiii. The existence of broker client relationship does not imply that broker is liable to provide each and every service to the client, and services may not be provided in case the client does not fulfill the necessary conditions for the same.
  - xxiv. Where the client chooses to clear his trades through Professional Clearing Member (PCM) , then the broker shall revert such trades as are not confirmed by the PCM to the client who shall be then liable to not only pay all the margins on the same but to also settle the same.
- c. Payment Related**
- i. The broker may debit charges for other services such as depository, charges on account of dishonour of cheques, charges for issuance of demand drafts, NEFT/RTGS, SMS charges, research report charges, minimum processing fee charges etc. to the client's account.
  - ii. The broker does not accept cash and in no event should the client make any payments to the broker, broker's employees, broker's sub-broker/authorised persons and/or any agent of broker by cash.
  - iii. The client must make payments from his own bank account through a bank instrument. The broker may demand a proof that the payments are being made by the client from his own account without which the Broker may not give credit to the client. In case of Demand Drafts, following may be required:
    - iv. Certificate from the issuing bank on its letter head or on a plain paper with the seal of the issuing bank.
    - v. Copy of the passbook/bank statement for the account debited to issue the instrument duly certified by the Bank. Please ensure that copy of the passbook/bank statement clearly reflects that amount has been debited for the purpose of issuing of prefunded instruments in favor of Multiplex Capital Ltd.
    - vi. The client should never leave any blank instrument(s) such as cheques / depository instruction slips (DIS) etc. with broker or broker's employees, broker's sub-broker/authorised persons and/or any agent of broker. The broker shall not be responsible for their misuse.
    - vii. The broker shall make delivery of funds/securities to the client only after the same has been received from the exchange/clearing corporation/clearing house /the delivering client.
- d. Corporate Action**
- i. The client may keep securities with broker for ease of payments/margin, however, the broker shall not be liable to apply for and receive benefits of corporate action on the same and the client shall be solely responsible to get these transferred to his personal demat account to receive the corporate benefits. Broker, in exceptional circumstances, upon specific written request, may attempt to seek corporate benefits for and on behalf of the client while keeping the custody of securities with its own self, however the same shall be without any warranty/guarantee that the corporate benefits shall be received. The client shall also provide funds and application etc. well in time to allow the broker to take necessary action.
  - ii. Where any corporate benefits come into the broker's account, upon any written request / agreed settlement procedures the same shall be held as part of existing margin/collateral, and shall be released to the client upon written request.
  - iii. The contract specifications may undergo changes because of corporate actions (such as shares split etc.) /directions by exchanges, and the client should actively monitor his open positions and take necessary actions to avoid any losses on account of any such changes.

Client confirms having read & accepted the terms & conditions of this document titled “**Policies and Procedure**” inter-alia comprising **clauses 1 to 9** and agrees to be bound by all of them including those excluding/limiting the broker's liabilities.

Client Signature  14/23

**TARIFF SHEET**

**PRODUCT PLAN\* / BROKERAGE (SUBJECT TO CHANGE)**

Multiplex \_\_\_\_\_ \*Details as per executed addendum.

**CASH SEGMENT**

| Brokerage       | in % | Minimum Paise |
|-----------------|------|---------------|
| Delivery Based  |      |               |
| Daily Square up |      |               |

**DERIVATIVES SEGMENT**

| Brokerage | in % | Minimum Paise | * Brokerage per lot ( in ₹) |
|-----------|------|---------------|-----------------------------|
| Future    |      |               |                             |
| Option    |      |               |                             |

\*In case of option index only.

**CURRENCY DERIVATIVES SEGMENT**

| Brokerage | in % | Minimum Paise | Brokerage per lot ( in ₹) |
|-----------|------|---------------|---------------------------|
| Future    |      |               |                           |
| Option    |      |               |                           |

**MUTUAL FUND**

| Brokerage      | in % | Minimum Paise |
|----------------|------|---------------|
| Delivery Based |      |               |

In addition to brokerage, all statutory / exchange charges as applicable would also be levied.

In case of physical contract note are being dispatched to client, ₹ 25/- per contract note would be charged towards stationery & postage charges.

It is declared that I/we/the firm / the company:

1. Have not defaulted to any other broker/exchange and/or am/are not suspended/expelled/defaulter member of any exchange.
2. Have not been declared bankrupt/insolvent.
3. Have not been prohibited for dealing in securities/commodities market by any authority.
4. Are not employee of any other broker/exchange.

I/we agree to pay processing charges (as applicable) / authorise you to debit for this application which will be payable even if my application is rejected due to any reason such as lack of proper supporting documents (Identify/Address/Bank proof etc.)

Client Signature  15/23

ACKNOWLEDGEMENT FROM CLIENT



MULTIPLEX CAPITAL LTD.

Registered Office:

100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085

Ph.: 011-47055555, Fax : 011-27561629

E-mail : customer.grievance@multiplexcapital.com,

info@multiplexcapital.com

Website : www.multiplexcapital.com

SEBI Regn No. :

NSE Cash INB230783732

NSE F&O INF230783732

NSE CD INE230783732

BSE Cash INB010783737

BSE F&O INF010783737

BSE CD INE010783737

MCX-SX INB270783736

MCX-SX INF270783736

MCX-SX INE270783736

USE INE270663732

I / We .....hereby confirm that I / We have received the copy of KYC Forms, Risk Disclosure Documents, Rights and Obligation, guidance note & policies & procedures. I / We also confirm that I / We got my unique client code.

Thanking You,

Date : .....

Place : .....

16/23

Client's signature

(If partner, Corporate or other signatory, then attest with firm / company seal)

(Please Tear Here)

ACKNOWLEDGEMENT



MULTIPLEX CAPITAL LTD.

Member : NSE, BSE, MCX-SX, USE • DP (NSDL ) DP ID : IN302620, DP (CDSL) DP ID : 12056500

SEBI REGN. NO.: IN-DP-NSDL-216-2001, SEBI REGN. NO.: IN-DP-CDSL-261-2004

Registered Office: 100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085

Date...../...../20.....

Accepted / Rejected the application from Mr./Ms.....as the sole / First holder alongwith .....and.....is the Second and Third holders respectively for opening of a depository account. Your Client ID will be intimated to you shortly on acceptance. Please quote the DP ID & Client ID allotted to you in all future correspondence.

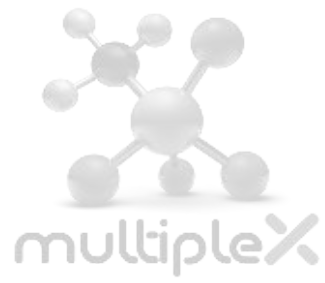
Participant Stamp & Signature







(Please Tear Here)



## NSE - MFSS Facility

To,

**Multiplex Capital Ltd.**

100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085

Dear Sir,

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

I/We ..... am/are registered as your client with Client Code No. .... and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. (Exchange).

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

For the purpose of availing the MFSS facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

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

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

I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual 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 therefore request you to register me/us as your client for participating in the MFSS.

Thanking you,

Yours faithfully,

 17/23

Signature with date

Name : .....

[ Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc. ]

## Details of terms & conditions for the Investor / Client for using New MFSS facility

### 1. Pre-requisites for becoming Investor / Client for the New MFSS facility

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

### 2. Terms and Conditions

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

## LETTER OF AUTHORITY

To, Date : .....

**Multiplex Capital Ltd.**

100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085

**Sub : Letter of Authority - NSE / BSE / MCX-SX/USE (All Segment)**

I/We am/are dealing in securities with you at NSE/BSE/MCX-SX/USE Capital Market Segment, Derivatives Segment & Currency Derivatives Segments and in order to facilitate ease of operations. We authorize you as under :

**1. Running Account:**

That I/We desirous of regularly dealing in CM and F&O Segment of securities and request you to maintain a Running Account for funds and securities on my/our behalf without setting the account on settlement of each transaction on my/our behalf. I/We further agreed with the stock broker all the Terms and Conditions of Running Account mentioned in SEBI Circular no. MIRSD/ SE /Cir-19/2009 dated December 3, 2009 and further request you to retain all amount payable and securities receivable by me/ us until specifically requested by me/ us in writing to be settle or to dealt with in

Once in a calender quarter Once in a calender month.

Further I reserve my right to revoke the running account authorisation at any time by informing you in writing.

**2. Set off of outstanding:**

I/We authorize you to set off outstanding in any of my / our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange and / or against the value of cash margin or collateral shares provided to you by me / us.

**3. Delivery of order/ trade confirmation/ cancellation:**

I/We hereby authorize you not to provide me / us order confirmation / Modification / Cancellation Slips and Trade Confirmation slips to avoid unnecessary paper work. I/we shall get the required details from contract notes and confirmation issued by you.

**4. Authorization to Use Margin:**

I hereby authorize you to keep all the securities which we give you in margin including the payout of securities received, to use the securities for meeting margin / other obligation in stock exchange in whatever manner which may include pledging of shares in favour of bank and/or taking loan against the same for meeting margin/pay-in obligation on our behalf or for giving the same as margin to the Stock Exchange or otherwise.

I further authorize the stock broker as per the requirement of SEBI Circular no. MIRSD/ SE /Cir-19/2009 dated December 3, 2009 that in case of any outstanding obligations on the settlement date, the stock broker may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

**5. Telephonic Conversation:**

I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.

**6. Collection of Notes, Bills etc.**

I/We will collect from your office contract notes. Bills, securities, etc. as per my/our convenience and these are not to be dispatched at my address given to you.

**7. Electronic Mode of delivery:**

I/We request that you may send/ Dispatch me contract notes other documents through E-mail: on my designated E-mail address of..... I/We stress that I/we will not hold you responsible under any circumstances in the event of an E-mail which you send gets bounced due to any reason such as mail box being full, inactive account or due to any technical reason beyond your control.

**8. Log Report:**

I/We will completely rely on the log reports of your dispatching software as a conclusive proof of dispatch of E-mail to me and will not dispute the same.

**9. Change in E-mail Id:**

I/We will inform you any change in my E-mail, if any, in future, in physical mode by regd. post or by hand delivery and through a digitally signed E-mail.

**10. Electronic Trading:**

Trading of NSE is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control of you and may result in delay in processing or not processing buy or sell orders either in part or in full. I agree that I shall be fully liable and responsible for any such problems glitch.

**11. Sub Letting of Terminal:**

I/We confirm that I/we will never sublet the trading terminal on any term of connectivity from my place to any other place without your prior approval.

**12. Inter Settlement of Securities:**

I/We am/are agreeable for inter-settlement transfer of securities towards settlements.

**13. Hold of funds Pay outs:**

I/We am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.

**14. Fines & Penalties:**

All fines/penalties and charges levied upon you due to my acts / deeds or transactions may be recovered by you from my account.

**15. Charges & Balance Maintenance:**

I/We have a Trading As well as depository relationship with Multiplex Capital Ltd. Please debit the charges relevant with depository services and courier charges for sending physical contract notes & other documents from my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my/our trading account / pay adequate advance fee for the said reason.

**16. Authorisation to sell off securities:-**

I/We understand that in case of my/our failure to make the funds pay in or delivery of securities for my/our deals/trading by designated day, you are entitled to sell off in the market the securities received in pay out and/or deem our positions closed out at applicable rates;

I/we do hereby indemnify and agree to compensate for any losses, penalties you may suffer for agreeing to this direction.

**17. Verbal order acceptance authorization:-**

I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in the market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation, I/we hereby authorize you to accept my/our authorized representative's verbal instructions for order placement/modifications/cancellations in person or over phone(fixed line or mobile phone) and execute the same.

\* Strike off the clauses not relevant to you.

Thanking you,  
Yours faithfully,

 19/23

Signature with date

Name : .....

**ADDENDUM TO THE CLIENT REGISTRATION FORM / KEY INFORMATION**

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

**PREVENTION OF MONEY LAUNDERING**

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436(E) dated July 1,2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD/CIR/RR/AML/1/06 dated January 18,2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number ISD/CIR/RR/AML/2/06 dated March 23,2006 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Sec12of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

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

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

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

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

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

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

Thanking you.

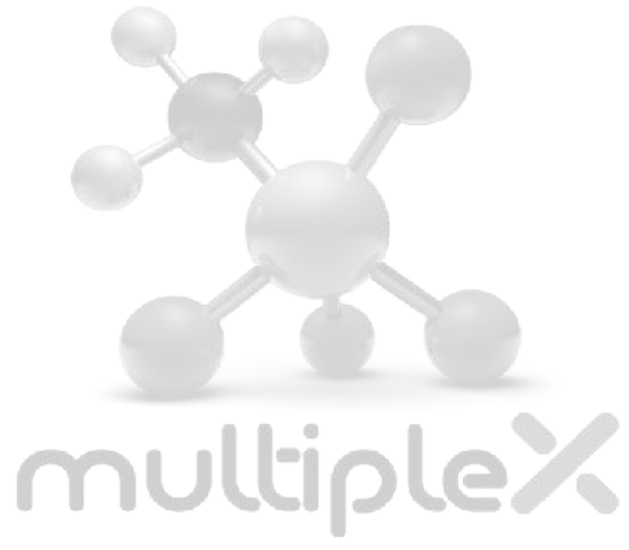
Yours faithfully,

 20/23

Signature with date

Name : .....





**POWER OF ATTORNEY (FORMAT)**

In favour of broker for operational requirements as per client instruction

TO ALL TO WHOM THESE PRESENTS SHALL COME I/WE....., R/o.....  
 ..... India, Indian inhabitant SEND GREETINGS.

Whereas I/ We am a/ are investor(s) engaged in buying and selling of securities through Multiplex Capital Ltd. (a member of Bombay Stock Exchange, bearing SEBI registration no. INB/INF/INE010783737) and Multiplex Capital Ltd. (a member of National Stock Exchange of India Ltd. bearing SEBI registration no. INB/INF/INE 230783732), Multiplex Capital Ltd. (a member of MCX-SX Ltd. bearing SEBI registration no. INB/INF/INE.....) and Multiplex Capital Ltd. (a member of United Stock Exchange bearing SEBI registration no. -----) hereinafter jointly referred to as "MULTIPLEX".

Whereas I/ We am/ are holding a Beneficiary account no. ....through ..... Bearing DP-ID IN 302620 and due exigency & paucity of time I/We wish to appoint an agent/attorney to operate the aforesaid beneficiary account.

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I THE ABOVENAMED DO HEREBY NOMINATE, CONSTITUTE/ AND APPOINT "MULTIPLEX" as my true and lawful attorney (hereinafter referred to as the attorney) for me and on my behalf and in my name and at my/ our cost and expense to do the following acts, deeds or things:

1. To do instruct the aforesaid Depository Participant to debit securities and/or to transfer securities from the aforesaid beneficiary account for the purpose of meeting margin/ delivery obligations of the recognized stock exchange toward any segment arising out of the trades executed by me/ us through them.
2. To instruct DP to transfer the shares to MULTIPLEX NSE Margin account number DP ID IN 30262010068245 either/or, DP ID IN30262010034616 , and/or MULTIPLEX BSE Margin Account DP ID 120565000000023, & pledge/ unpledge the same with the NSE/BSE/MCX-SX/USE or clearing member as margin deposit in connection with the trades executed by me/ us through MULTIPLEX.
3. To instruct the DP to debit securities to the said BO account and/ or transfer securities from the said account to MULTIPLEX NSE pool account nos. DP ID IN30262010000303 and/or 120565000000020 and/or to MULTIPLEX BSE pool account nos. DP ID IN30262010072295 and/or 1205650000000101 and/or MCX-SX pool a/c no. ----- and/or----- to the extent of shares sold by me/us for pay- in obligations towards any stock exchange.
4. Unless specifically instructed by me/ us within the reasonable time, to apply for various products like shares & securities, Public Issues (shares as well as debentures), subscription to rights, offers of shares, tendering shares in open offers, mutual fund, redemption of Mutual Funds, etc.
5. To send me/ us consolidated scrip-wise position summary with average rates on daily basis by the way of SMS/ Email on my mobile or on my email id (details of which has already been provided to MULTIPLEX or as updated by me from time to time).
6. To transfer charges levied in my BO account to my trading ledger account of NSE & BSE
7. To do all such thing and give all such instructions as mentioned above concerning the said account as I/we myself/ourselves could give if I/we was/were personally present.




That the MULTIPLEX would liable to return back all the securities that may have been transferred erroneously.

This authority is restricted to the margin/ delivery obligations arising out of the transactions of trades executed by me/ us through MULTIPLEX and I/We ratify the instructions given by the aforesaid Clearing Member to the Depository Participant named hereinabove in the manner specified herein.

That powers and authorities conferred by this Power of Attorney can be revoked at any point of time, without any notice.

Witness whereof I/We have executed this Power of Attorney on this ..... day of....., 20.....

**SIGNED AND DELIVERED BY:**

|                           | Sole/First Holder   | Second Holder   | Third Holder  |
|---------------------------|---|---|---|
| <b>Name of A/c Holder</b> |   |   |   |
| <b>Sign of A/c Holder</b> |  21/23 |  |  |

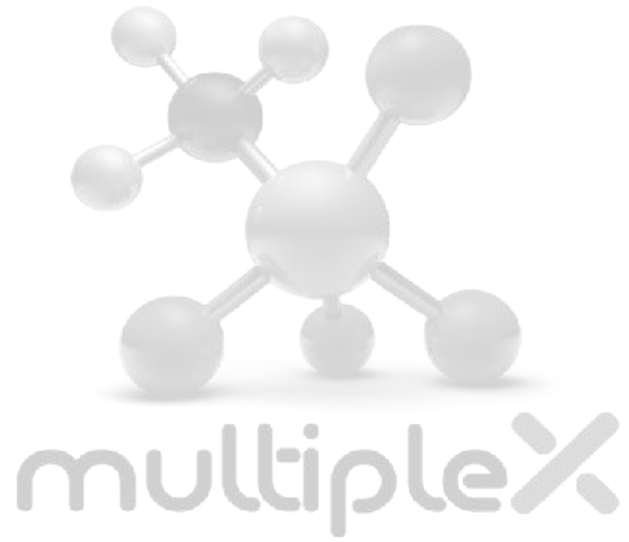
I/We Accept

\_\_\_\_\_  
 Multiplex Capital Ltd.

Witnesses :

1. On behalf of Client

2. On behalf of Participant



**FORMAT OF NOC LETTER TO BE SUBMITTED BY BROKER'S / EXCHANGE'S EMPLOYEE**

To,  
**Multiplex Capital Ltd.**  
 100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085

This is to state that ..... S/o/D/o .....

R/o.....

..... is employee with this company and we have no objection if the said person opens an account for trading purpose with your company.

Thanking you.

Yours faithfully,



Signature with date

Name : .....

**FORMAT OF BOARD RESOLUTION TO BE GIVEN BY CORPORATE CLIENT**

**(To be printed on letter head of company)**

Certified true copy of extracts of the minutes of the meeting of the board of directors of .....  
 ..... (Co. Name) convened on the ..... (date)

"Resolved that an account for the purpose of trading in equity, derivatives & currency derivatives be opened with M/s. Multiplex Capital Ltd. Member - National Stock Exchange of India Ltd. and/or Bombay Stock Exchange Ltd. and/or and/or MCX Stock Exchange Ltd. and/or United Stock Exchange of India Ltd., hereinafter referred to as the Stock Broker for undertaking transactions in equity, derivatives & currency derivative segments on the said exchange(s).

Further Resolved that Shri .....and/or Shri ..... (Designation), be and are hereby authorised severally/jointly to do all such acts, deeds, things and sign all documents papers, authorisations, declaration etc. as may be necessary for opening and operating the said trading accounts with the Stock Broker.

Further resolved that the aforementioned persons, be and are hereby authorised severally/jointly to give instructions on behalf of the Company for conducting trading in equity, derivatives & currency derivatives for and on behalf of the Company.

Further resolved that a copy of this resolution be forwarded to the Stock Broker by Shri ..... or Shri .....(Designation), & the Stock Broker be instructed to honour the instruction of Shri .....and / or Shri .....(Designation), to carry on trading in equity, derivatives & currency derivatives.

Certified true copy

For (Name of the Company)

Director

Date : ...../...../20..... Place : .....

**DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM ON LETTER HEAD OF THE FIRM**

To,  
**Multiplex Capital Ltd.**  
 100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085

Dear Sir,

We refer to the trading account being opened / opened with you in the name of .....  
 .....and declare and authorise you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per applicable law. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorise you to recognize the beneficiary account No. ....with depository .....opened as a joint account in the names of partners of the firm.

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

We hereby authorize ....., partner in the firm to execute / sign and submit such documents, agreements, deeds etc. as may be necessary to enter into the agreement and engage in business with Multiplex Capital Ltd. and to place order for buying and selling of securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter for adjustment of balances in family accounts.

| Name of Partners (in block letters) | Signatures |
|-------------------------------------|------------|
|                                     |            |
|                                     |            |

**Declaration to be signed by all the members of HUF [applicable in case of 'HUF' Client]**

To,  
**Multiplex Capital Ltd.**  
 100/28, Keshav Tower, Rajapur Market, Sector-9,  
 Rohini, Delhi-110085






Name of Karta : .....  
 Date of Birth of Karta : DD / MM / YYYY  
 PAN No. of Karta : 

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

Dear Sir,

We confirm that the undersigned are all members of .....(HUF),  
 and we have no objection to the Karta, Mr. ....operating a  
 trading a/c with M/s. Multiplex Capital Ltd.

Yours truly,

| Name of Co-parcener/Karta | Date of Birth | Relationship with Karta | Signature   |
|---------------------------|---------------|-------------------------|---|
| 1.                        |               |                         |  |
| 2.                        |               |                         |  |
| 3.                        |               |                         |  |
| 4.                        |               |                         |  |
| 5.                        |               |                         |  |

**DEPOSITORY DIVISION**

**ACCOUNTS NUMBER DETAILS**

| Sr. No. | Account Holder Name (s) | Depository Account No. (s) |
|---------|-------------------------|----------------------------|
| 1.      |                         |                            |
| 2.      |                         |                            |
| 3.      |                         |                            |

**ELECTRONIC CLEARING SERVICE (Debit Clearing Mandate Form)**

- 1. Name (s) : .....
- 2. Bank Name : .....
- (A) Branch Name : .....
- (B) 9-Digit MICR Code\* : 

|  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|
|  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|
- (C) Account Type :  S.B.A/c (Code 10)       Current A/c (Code 11)       Cash Credit (Code 13)
- (D) Ledger No. / Folio No. : .....
- Account No. : .....
- Date of Effect : DD / MM / YYYY
- Periodicity : .....

\*Appearing on the MICR Cheque issued by the Bank (Please attach the Photocopy of a Cheque or a Blank Cancelled cheque issued by you bank for verifying the accuracy of the Code Number.)

I, hereby, declare that the particulars given above are correct and complete, if the transaction is delayed or not effected at all for reasons of incomplete or incorrect information. I would not hold the used institution responsible. I hereby agree to discharge the responsibility expected of me as a participant under the scheme.

Date : DD / MM / YYYY

 22/23

Sole/First Holder Name & Signature



Second Holder Name & Signature



Third Holder Name & Signature

**BANK CERTIFICATION** (Not required if photocopy of the cheque is enclosed).....

Certified that the particulars furnished above are correct as per our records.

Bank's Stamp : .....

Date : DD / MM / YYYY

Signature of authorised bank official

(Please Tear Here)

**AUTHORISATION TO BANK FOR DEBIT THE ACCOUNT**

The Branch Manager

Dear Sir,

I/We.....residing at.....  
 .....maintain a .....Account No.....with  
 your branch.

I/We hereby authorise the Bank to debit all types of commission/fees ("Service Charges") payable by me/us and charges by Multiplex Capital Ltd. through the ECS (Debit Clearing) facility to my bank account with you. I/We undertake the balances shall be maintained by me/us so that the right of the Bank to debit the Service Charges is not impaired. I/We hereby undertake not to revoke this authority without the written approval from the Bank.

 23/23

Sole/First Holder Name & Signature



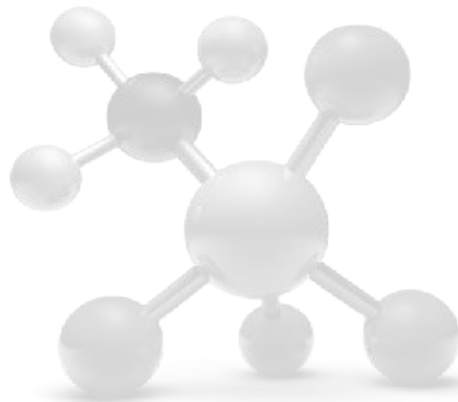
Second Holder Name & Signature



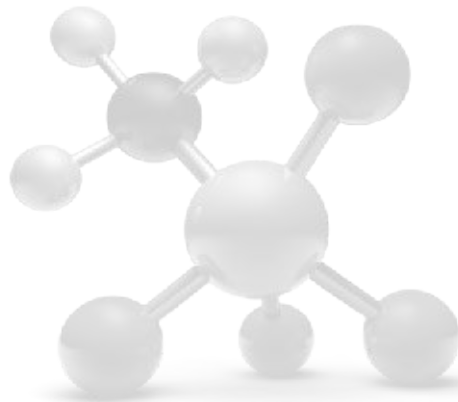
Third Holder Name & Signature

Date : DD / MM / YYYY





multipleX



multipleX

Client Code : .....

Client's Name : .....



**For Office Use Only :**

Internal Ref. No. : .....

Client's Name : .....

Branch Code : .....

Branch Name : .....



# MultipleX Capital Limited

**CIN: U74899DL1994PLC058767**

**Member : NSE Cash-INB230783732, NSE F&O-INF230783732, NSE Currency-INE230783732**

**BSE Cash-INB010783737, BSE F&O-INF010783737, BSE Currency-INE010783737**

**MCX-SX Currency-INE260783732, USE Currency-INE270783736**

**DP ID (NSDL) - IN 302620 SEBI REGN (NSDL) - IN-DP-NSDL-216-2001**

**DP ID (CDSL) - 12056500 SEBI REGN (CDSL) - IN-DP-CDSL-261-2004**

**Regd. Office :**

100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085 | Ph.: 011-47055555 | Fax : 011-27561629

