

For Office Use Only

Form SI. No.

File Ref. No.:

Unique Client Code:

Demat Client ID :

Name :

Place :

Documents Verified by:

OH!
YES

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YES

PARASRAM Oh! YES...

• Capital Market • Commodities • Depository Services • Financial Services

“Client Registration Form
TRADING & DEMAT

INDEX

MANDATORY DOCUMENTS AS PRESCRIBED BY DEPOSITORIES, EXCHANGES & SEBI

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Name of Stock Broker / Depository Participant
SHRI PARASRAM HOLDINGS PRIVATE LIMITED

Registered & Corporate Office :
 Gupta Chambers B-7, Nimri Shopping Centre, Bharat Nagar, Delhi-52 • Ph.: 011-47000000, E-mail us at : customercare@sphpl.com

CEO : Mr. Vivek Sheel Aggarwal, Phone No. : 011-47000000 Email id : vs@sphpl.com
 Compliance Officer's Detail : Mr. Vivek Sheel Aggarwal, Phone No. : 011-47000000 Email id : vs@sphpl.com

For any grievance please contact Shri Parasram Holdings Private Limited or email at : ig@sphpl.com. In case not satisfied with the response, please contact the concerned exchange(s) / depositories at :

National Stock Exchange of India Ltd.	E-mail ID	Phone No.
Bombay Stock Exchange Ltd.	ignse@nse.co.in	18002660058, 022-26598191
MSEI	is@bseindia.com	022-22728517/8097/8138
MCX	investorcomplaints@mcx-sx.com	022-61129028
CDSL	grievance@mcxindia.com	022-67318888
NSDL	complaints@cdslindia.com	18002005533
SCORES (SEBI Complaints Redress System):	relations@nsdl.co.in	022-24994200
	https://scores.gov.in/scores or visit	http://www.parasramindia.com

Declaration by Shri Parasram Holdings Pvt. Ltd. (SPHPL) for Pro Trading

We, SPHPL, hereby declare to all Clients that besides trading on behalf of our Clients, we also do Proprietary Trading in Our Own Account.

* The information to be given in the form, is sole property of the Member Broker and would not be disclosed to anyone unless required by law/statutory regulatory authorities or except with the expresses permission of the client.

Receipt No. : _____ Cash / Cheque No. : _____ Amount: ₹ _____ Checked by : _____ Captured by : _____ Verified by : _____

ACKNOWLEDGMENT TO SPHPL FROM CLIENT

To, **SHRI PARASRAM HOLDINGS PRIVATE LIMITED**

B-7, Nirmri Shopping Centre, Bharat Nagar, Delhi-110052

I/We hereby confirm that I/we have read, understood, agreed and received a duly executed copy of the:-

- Account Opening Form & Trading Account Related Details
- Tariff Sheet (Trading & Demat Account)
- Rights and Obligations of Stock Brokers, Sub-Brokers and Clients
- Rights and Obligations of Beneficiary owner and Depository Participant as prescribe by SEBI and Depository
- Internet and Wireless technology based trading facility provided by Stock Brokers to Client
- Risk and Disclosure document for capital market and derivative segments
- Guidance note-Do's and Don't for trading on the Exchange(s) for Investors
- Policies and procedures
- FATCA & CRS Terms & Conditions
- Other disclosure/documents as agreed by me specifically in voluntary segment.

"Investors may lodge there complations by sending and E-mail to us or by sending an E-mail at the nearest Investors Service Centre of stock exchange or by sending physical complation to the nearest Investors Service Centre of stock exchange or through SEBI scores 2.0 (Home - scores. SEBI. gov. in) or through SMART ODR Portal (<https://smartodr.in/>)."

Thanks and Best regards,

Signature of Client (01) 

Client Signature

For **SHRI PARASRAM HOLDINGS PRIVATE LIMITED**

Authorised Signatory

Client Name :.....

Client Code :.....

Date :.....

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

Annexure A

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

Signature of Client (02) 



Client Name :.....

Client Code :.....

Date :.....



Application Form (For Individuals Only) - First Holder

Application Type : ☐ New ☐ Update

KYC Number of applicant

A. Identity Details

	Prefix	First Name	Middle Name	Last Name
1. Name of Applicant				
Name as per Income Tax Record				
Maiden Name (if any)				
Father / Spouse Name				
Mother Name				
2. A. Gender	☐ Male ☐ Female ☐ Transgender			
B. Marital status	☐ Single ☐ Married ☐ Others			
3. PAN	☐ Indian ☐ Other (Please specify)			
4. Residential Status	☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin			
Occupation (Please tick (3) any one and give brief details):	☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others (Please specify)			
5. UID/Aadhaar	☒ ☒ ☒ ☒ ☒ ☒ ☒ ☒ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐			
Date of Birth				
6. Proof of Identity submitted for PAN exempt cases (see guideline 'D' in check list .)				

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

B. Address Details

1. Address for Correspondence			
	City/Town/Village		
State	Country	Pin Code	
2. Contact Details			
Mobile (Primary)	(ISD)	(STD)	
Mobile (Secondary)	(ISD)	(STD)	
Tel.	(ISD)	(STD)	
Fax	(ISD)	(STD)	
MOBILE (Primary) given by me belongs to	☐ Me ☐ Spouse ☐ Dependent children ☐ Dependent Parent		
E-Mail ID. (In Capital Letters only)			
E-MAIL ID given by me belongs to	☐ Me ☐ Spouse ☐ Dependent children ☐ Dependent Parent		
3. Specify the Proof of Address submitted for Residence / Correspondence Address	☐ UID ☐ Bank Statement ☐ Other		
4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant			
	City/Town/Village		
State	Country	Pin Code	
5. Specify the Proof of Address submitted for Residence / Permanent Address			

C. Fatca & CRS Detail

Nationality/Tax Residency/Citizen ship Other than India ☐ No ☐ Yes

Country of Birth	Place/City of Birth
Country of Citizenship/Nationality	
Country of Tax Residency (Other Than India)	
Tax Payer Identification Number (Other Than India)	
2. Gross Annual Income Details : Income Range per annum :	☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac ☐ Rs. 10 Lac to 25 Lac ☐ more than 25 Lacs

Declaration : I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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 am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA agencies only for the specific purpose validating/ maintaining/ sharing my KYC record and as an audit evidence. I will have an option to request for deleting of my Aadhaar record. I hereby give my consent for receiving information including Central KYC Registry through SMS/Email on the above registered mobile number/email address. I am/we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Dig locker XML file, along with pass code and as applicable, with SEBI, KRA, CKYC and other Institutions/ agencies/ Intermediaries with whom I have a business relationship for KYC purposes only.

SIGNATURE OF APPLICANT

(03)

Place:

Date:

IPV TO BE FILLED BY - EMPLOYEE/API/OTHERS

Intermediary name OR code

- ☐ (Originals Verified) Self Certified Document copies received
- ☐ (Attested) True copies of documents received Main Intermediary

☐ IN-PERSON VERIFICATION (IPV)	☐ DOCUMENTS VERIFIED WITH ORIGINALS	☐ CLIENT INTERVIEWED BY
Date : / /		
Institution Name & Code : Shri Parasram Holding Private Limited		
Name :	Code :	
Designation :	Signature :	



Application Form (For Individuals Only) - Second Holder/Guardian

Application Type : ☐ New ☐ Update

KYC Number of applicant

A. Identity Details

1. Name of Applicant

Name as per Income Tax Record

Maiden Name (if any)

Father / Spouse Name

Mother Name

2. A. Gender ☐ Male ☐ Female ☐ Transgender **B. Marital status** ☐ Single ☐ Married ☐ Others

3. PAN **Nationality / Citizenship** ☐ Indian ☐ Other (Please specify)

4. Residential Status ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin

Occupation (Please tick (3) any one and give brief details):

☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist

☐ Retired ☐ Housewife ☐ Student ☐ Others (Please specify)

5. UID/Aadhaar : x x x x x x x x **Date of Birth** d d m m y y y y

6. Proof of Identity submitted for PAN exempt cases (see guideline 'D' in check list .)

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

B. Address Details

1. Address for Correspondence

State City/Town/Village Country Pin Code

2. Contact Details

Mobile (Primary) (STD) (STD) **Mobile** (Secondary) (STD) (STD)
Tel. (STD) (STD) Fax (STD) (STD)

MOBILE (Primary) given by me belongs to ☐ Me ☐ Spouse ☐ Dependent children ☐ Dependent Parent

E-Mail ID. (In Capital Letters only)

E-MAIL ID given by me belongs to ☐ Me ☐ Spouse ☐ Dependent children ☐ Dependent Parent

3. Specify the Proof of Address submitted for Residence / Correspondence Address ☐ UID ☐ Bank Statement ☐ Other

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

State City/Town/Village Country Pin Code

5. Specify the Proof of Address submitted for Residence / Permanent Address

C. Fatca & CRS Detail

Nationality/Tax Residency/Citizen ship Other than India ☐ No ☐ Yes

Country of Birth **Place/City of Birth**
Country of Citizenship/Nationality
Country of Tax Residency (Other Than India)
Tax Payer Identification Number (Other Than India)

2. Gross Annual Income Details : Income Range per annum : ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac
(please tick ✓) ☐ Rs. 5 Lac to 10 Lac ☐ Rs. 10 Lac to 25 Lac ☐ more than 25 Lacs

Declaration : I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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 am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA agencies only for the specific purpose validating/ maintaining/ sharing my KYC record and as an audit evidence. I will have an option to request for deleting of my Aadhaar record. I hereby give my consent for receiving information including Central KYC Registry through SMS/Email on the above registered mobile number/email address. I am/we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Dig locker XML file, along with pass code and as applicable, with SEBI, KRA, CKYC and other Institutions/ agencies/ Intermediaries with whom I have a business relationship for KYC purposes only.

SIGNATURE OF APPLICANT

(03)

Place:

Date:

IPV TO BE FILLED BY - EMPLOYEE/AP/OTHERS

Intermediary name OR code

- ☐ (Originals Verified) Self Certified Document copies received
☐ (Attested) True copies of documents received Main Intermediary

☐ IN-PERSON VERIFICATION (IPV) ☐ DOCUMENTS VERIFIED WITH ORIGINALS ☐ CLIENT INTERVIEWED BY

Date : d d / m m / y y y y Institution Name & Code : Shri Parasram Holding Private Limited

Name : Code :

Designation : Signature :

PART II - ACCOUNT OPENING FORM (FOR INDIVIDUALS)

/ NSDL - DP ID : IN 302365 //

DP ID	I	N	3	0	2	3	6	5	Client ID								
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

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

(Please fill all the details in CAPITAL/BLOCK LETTERS only)

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

A. TYPE OF ACCOUNT (Please tick whichever is applicable)

☐ Resident	☐ NRI-Repatriable	☐ Promoter	☐ Qualified Foreign Investor	☐ Margin
☐ Foreign National	☐ NRI-Non Repatriable	☐ Stock Broker	☐ Others (Specify) _____	

B. DETAILS OF ACCOUNT HOLDER(S)

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
Date of Birth			
UCC			
UID			
Exchange Name & ID		—	—
Brief Details		—	—

C. 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, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below :

Name _____	PAN								
------------	-----	--	--	--	--	--	--	--	--

D. STANDING INSTRUCTIONS

1.	I/We authorise you to receive credits automatically into my/our account (If not marked default option would be Yes)	☐ Yes ☐ No		
2.	I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end. (If not marked, the default option would be 'No')	☐ Yes ☐ No		
3.	Client option to receive e-statement	☐ Yes ☐ No		
4.	Receive Annual Reports, AGM notices and other communication from Issuer & RTA in Electronic form (If not marked default option would be Yes)	☐ Yes ☐ No		
5.	For joint accounts communication to be sent to ☐ First Holder ☐ All Joint Account Holders			
6.	Account to be operated through (DDPI) (If not marked default option would be No)	☐ Yes ☐ No		
7.	Account to be operated through Power of Attorney (POA)	☐ Yes ☐ No		
8.	SMS Alert facility : [Mandatory if you are giving (DDPI). Ensure that the mobile number is provided in the KYC Application Form]			
	Sr. No.	Holder	Yes	No
	1.	Sole / First Holder	☐	☐
	2.	Second Holder	☐	☐
	3.	Third Holder	☐	☐

E. Mode of Operation for Joint Accounts (*see notes) ☐ Jointly ☐ Anyone of the holder or survivor(s)

If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operation such as transfer of securities including Inter-Depository Transfer pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted.

F. GUARDIAN DETAILS (where sole holder is a minor) :

[For account of a minor, two KYC/KRA Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]									
Guardian Name									
PAN					Date of Birth				
Relationship of Guardian with Minor									

G. In Case of NRIs/Foreign Nationals

RBI Approval Reference Number		RBI Approval Date	D	D	M	M	Y	Y	Y	Y
-------------------------------	--	-------------------	---	---	---	---	---	---	---	---

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".

	Sole / First Holder / Guardian (Mr./Ms.) (in case of Minor)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
Name			
Signatures	(4)	(1)	(1)

PART - II ACCOUNT OPENING FOARM (FOR INDIVIDUAL)
/CDSL - DP ID : IN 12058200

DP ID	1	2	0	5	8	2	0	0	Client ID								
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I/We request you to open a depository account in my/our name as per following details :

(Please fill all the details in CAPITAL/BLOCK LETTERS only)

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

A. TYPE - SUBTYPE OF ACCOUNT (Please tick whichever is applicable)

☐ Individual Resident	☐ Minor	☐ Foreign National	☐ HUF
☐ NRI-Repatriable	☐ NRI-Non Repatriable	☐ FPI	☐ AOP
☐ Margin	☐ Promoter	☐ Others (Specify) _____	

B. HOLDERS DETAILS

Sole/First Holder

Second Holder

Third Holder

Name																																													
PAN																																													
Date of Birth																																													
Occupation																																													
UCC																—															—														
UID																																													
Exchange Name & ID																—															—														
Brief Details																																													

C.

Name

PAN

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.

D. DETAILS OF GUARDIAN (in case the account holder is minor)

Guardian's Name																PAN															
Relationship with the applicant																Date of birth															

E. STANDING INSTRUCTIONS

I/We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be 'Yes')	[Automatic Credit] ☐ Yes ☐ No
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end. (If not marked, the default option would be 'No')	☐ Yes ☐ No
Account Statement Requirement (If not marked, the default option would be as per SEBI Regulation)	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
I/We request you to send Electronic Transaction-cum-Holding Statement at the email Id given on KYC page	☐ Yes ☐ No
I would like to share the email ID with the RTA	☐ Yes ☐ No
I would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Electronic)	☐ Physical ☐ Electronic
I/We wish to receive dividend/interest directly in to my/our bank account as given below through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	☐ Yes ☐ No
For joint accounts communication to be sent to	☐ First Holder ☐ All Joint Account Holders
Mode of Operation for Joint Accounts (*see notes)	☐ Jointly ☐ Anyone of the holder or survivor (s)
If Mode of Operation for Joint Account is choosen as anyone of the holder or survivor(s), only specified operation such as transfer of securities including Inter-Depository Transfer pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and /or securities and / or specific number of securities will be permitted.	
SMS Alert Facility Refer to Terms & Conditions given as Annexure A	MOBILE No.: +91-..... [Mandatory, if you are giving Power of Attorney (POA)] / Demat Debit and Pledge Instruction (DDPI) (if POA is not granted & you do not wish to avail of this facility, cancel this option).
Easi	To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

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".

Sole / First Holder / Guardian (Mr./Ms.) (in case of Minor)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
Name		
Signatures	(5)	(2)

Nomination Option for Eligible demat and Trading Accounts

NOMINATION OPTION (For DP & Trading) (Refer Note 18 for joint accounts)																													
NOMINATION DETAILS (Annexure – A) I/We hereby nominate the following person(s) who shall receive all the assets held in my / our account / folio in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) *																													
Mandatory Details																											Nominee-1		
Name of Nominee																													
Share of Nominee (%) **														Relationship															
Postal Address																													
Mobile Number																													
Email id (In Capital Letter only)																													
Identity Number	PAN																												
	AADHAR													x	x	x	x	x	x	x	x								
	DRIVING LICENCE																												
Additional Details (should be filled only if nominee is a minor.)																													
D.O.B of nominee														Relation of Gurdian with nominee															
Name of Guardian																													
Address of Guardian																													
Mandatory Details																											Nominee-2		
Name of Nominee																													
Share of Nominee (%) **														Relationship															
Postal Address																													
Mobile Number																													
Email id (In Capital Letter only)																													
Identity Number	PAN																												
	AADHAR													x	x	x	x	x	x	x	x								
	DRIVING LICENCE																												
Additional Details (should be filled only if nominee is a minor.)																													
D.O.B of nominee														Relation of Gurdian with nominee															
Name of Guardian																													
Address of Guardian																													
Mandatory Details																											Nominee-3		
Name of Nominee																													
Share of Nominee (%) **														Relationship															
Postal Address																													
Mobile Number																													
Email id (In Capital Letter only)																													
Identity Number	PAN																												
	AADHAR													x	x	x	x	x	x	x	x								
	DRIVING LICENCE																												
Additional Details (should be filled only if nominee is a minor.)																													
D.O.B of nominee														Relation of Gurdian with nominee															
Name of Guardian																													
Address of Guardian																													
Mandatory Details																											Nominee-4		
Name of Nominee																													
Share of Nominee (%) **														Relationship															
Postal Address																													

**** to be furnished only in following conditions / circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

1) I / We want the details of my / our nominee to be printed in the statement of holding, provided to me/ us by the AMC / DP as follows; (please tick, as appropriate)

☐ Name of Nominee

☐ Nomination: Yes/No

2) I hereby authorize _____(nominee number _____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ____% of assets in the account / folio or Rs. _____.

(strike off portions that are not relevant)

3) This nomination shall supersede any prior nomination made by me / us, if any.

	Sole / First Holder / Guardian (Mr./Ms.) (in case of Minor)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
Name			
Signatures	(6) 	(3) 	(3) 
Witness Signatures			

- Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Rights, Entitlement and Obligation of the investor and nominee:

- If you are opening a new demat account / MF folio, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the AMC / DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account / folio.
- In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account / folio, if case of your physical incapacitation. This mandate can be changed any time you choose.
- The signatories for this nomination form in joint folios / account, shall be the same as that of your joint MF folio / demat account. i.e.
 - 'Either or Survivor' Folios / Accounts - any one of the holder can sign
 - 'Jointly' Folios / Accounts - both holders have to sign

Transmission aspects

- AMCs / DPs shall transmit the folio / account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC / DP.
- In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

Declaration Form for opting out of nomination (Annexure B)

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

	Sole / First Holder / Guardian (Mr./Ms.) (in case of Minor)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
Name			
Signatures	(7) 	(4) 	(4) 

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. 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.
4. In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder (s) with required documents for deletion of name of the deceased account holder (s) in the demat account.
5. In case if 'first holder' is selected, the communication will be sent as per the preference mentioned at Sr. No. 4. In case 'All joint account holders' is opted, communication to first holder will be sent as per the preference mentioned at Sr. No. 4 and communication to other holders will be in electronic mode. The default option will be communication to first holder', if no option selected.
6. 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 and partnership firm, karta of Hindu Undivided Family holder of DDPI cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
7. 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.
8. The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a DDPI holder. A non-resident Indian can be a Nominee, subject to the exchange / depository controls in force, from time to time.
9. 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.
10. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
11. 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 karta of Hindu Undivided Family, holder of DDPI cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
12. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(S).
13. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be a settle the claims equally amongst all the nominee.
14. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
15. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents.
16. Savings bank account details shall only be considered if the account is maintained with the same participant.
17. DP ID and client ID shall be provided where demat details is required to be provided.
18. In case of joint account, the option to select 'choice of nomination' i.e. I/we wish to make a nomination or I/We wish to opt out of a nomination is not mandatory.
19. Strike off whichever is not applicable

ANNEXURE

Name of the Applicant _____ PAN of the Applicant _____

Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and Wholetime/Other Directors :

1. Name _____ Date of Birth dd / mm / yyyy Status _____ PAN _____ Residential Address _____ DIN _____ UID xxxxxxxx DPIN _____ Mobile _____ E-Mail ID. (In Capital Letters only) _____ Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors: ☐ Not a Politically Exposed Person (PEP) ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (PEP)	Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories
2. Name _____ Date of Birth dd / mm / yyyy Status _____ PAN _____ Residential Address _____ DIN _____ UID xxxxxxxx DPIN _____ Mobile _____ E-Mail ID. (In Capital Letters only) _____ Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors: ☐ Not a Politically Exposed Person (PEP) ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (PEP)	Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories
3. Name _____ Date of Birth dd / mm / yyyy Status _____ PAN _____ Residential Address _____ DIN _____ UID xxxxxxxx DPIN _____ Mobile _____ E-Mail ID. (In Capital Letters only) _____ Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors: ☐ Not a Politically Exposed Person (PEP) ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (PEP)	Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories
4. Name _____ Date of Birth dd / mm / yyyy Status _____ PAN _____ Residential Address _____ DIN _____ UID xxxxxxxx DPIN _____ Mobile _____ E-Mail ID. (In Capital Letters only) _____ Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors: ☐ Not a Politically Exposed Person (PEP) ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (PEP)	Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories

(9)

Date DD MM YYYY

Name & Signature of the Authorised Signatory(ies)

PART II - ACCOUNT OPENING FORM (FOR NON-INDIVIDUALS)

/ NSDL - DP ID : IN 302365

DP ID	I	N	3	0	2	3	6	5	Client ID						
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--

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

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

(Please fill all the details in CAPITAL/BLOCK LETTERS only)

A. TYPE OF ACCOUNT (Please tick whichever is applicable)

☐ Body Corporate	☐ FI	☐ FII	☐ HUF	☐ Mutual Fund
☐ Trust	☐ Bank	☐ CM	☐ Stock Broker	☐ LLP
☐ Others (Specify)				

B. DETAILS OF ACCOUNT HOLDER(S)

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
Date of Incorporation			
UID/Aadhaar			
UCC			
Exchange Name & ID			
Brief Details			

C. For Partnership Firm unregistered Trust, Association of persons (AOP) etc, although the account is opened in the name of the partner(s), Trustee(s) etc. the Name & PAN of the Partnership Firm, Unregistered Trust, AOP etc, should be mentioned below.

Name		PAN							
------	--	-----	--	--	--	--	--	--	--

D. In Case of FIIs/Others (as may be applicable)

RBI Approval Reference Number		RBI Approval Date	D	D	M	M	Y	Y	Y	Y
SEBI Registration Number (For FIIs)										

E. STANDING INSTRUCTIONS

1.	I/We authorise you to receive credits automatically into my/our account (If not marked default option would be Yes)	☐ Yes ☐ No		
2.	I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end. (If not marked, the default option would be 'No')	☐ Yes ☐ No		
3.	Client option to receive e-statement	☐ Yes ☐ No		
4.	Receive Annual Reports, AGM notices and other communication from Issuer & RTA in Electronic form (If not marked default option would be Yes)	☐ Yes ☐ No		
5.	Account to be operated through DDPI) (If not marked default option would be No)	☐ Yes ☐ No		
6.	Account to be operated through Power of Attorney (POA)	☐ Yes ☐ No		
7.	SMS Alert facility :			
	Sr. No.	Holder	Yes	No
	1.	Sole / First Holder	☐	☐
	2.	Second Holder	☐	☐
	3.	Third Holder	☐	☐

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

☐ As per resolution	☐ Any one singly	☐ Jointly by	☐ Others (Pl. Specify)
--	---	-------------------------------------	---

DECLARATION

I/we acknowledge the receipt of copy of document, "Rights and Obligations of the Beneficial Owner and Depository Participant". The rules and regulations of the Depository and Depository Participants pertaining to an account 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. Authorised Signatories (Enclose a Board Resolution for Authorised Signatories)

	Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name, Designation & Signatures			
	(10)	(5)	(5)

(Signatures should be preferably in black ink)

(In case of more authorised signatories, please add annexure)

PART II - ACCOUNT OPENING FORM (FOR NON-INDIVIDUALS)

CDSL - DP ID : IN 12058200

DP ID	1	2	0	5	8	2	0	0	Client ID							
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--

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

(Please fill all the details in CAPITAL/BLOCK LETTERS only)

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

TYPE OF ACCOUNT (Please tick whichever is applicable)

☐ Body Corporate	☐ FI	☐ FII	☐ OCB	☐ Mutual Fund
☐ Trust	☐ Bank	☐ CM	☐ Stock Broker	☐ LLP
☐ Others (Specify)				

SEBI Registration No. (if applicable)		SEBI Registration Date	D	D	M	M	Y	Y	Y	Y
RBI Registration No. (if applicable)		RBI Approval Date	D	D	M	M	Y	Y	Y	Y
ROC Registration No. (if applicable)		ROC Registration Date	D	D	M	M	Y	Y	Y	Y
Nationality	☐ Indian ☐ Others (specify) _____									

HOLDERS DETAILS

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
Date of Incorporation			
UCC			
UID			
Exchange Name & ID			
Brief Details			

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.

STANDING INSTRUCTIONS

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

SMS Alert Facility Refer to Terms & Conditions given as Annexure A	MOBILE No.: +91-..... [Mandatory, if you are giving Power of Attorney (POA)] / Demat Debit and Pledge Instruction (DDPI) (if POA is not granted & you do not wish to avail of this facility, cancel this option).	☐ Yes ☐ No
Easi	To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	☐ Yes ☐ No

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".

	Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name, Designation & Signatures	(11)	(6)	(6)

(Signatures should be preferably in black ink)

(In case of more authorised signatories, please add annexure)

E. GST & OTHER REGISTRATION DETAILS

(Please give details of all States where you are Registered)

S.No.	State	Registration No.	Validity Date
1.			

F. 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 :

1.
2.
3.

G. DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS

- If Client is dealing through the Authorised Person, provide the following details:

Authorised Person's Name : SEBI Regn.:
 Registered Office Address :
 City/Town/Village : Pin Code :
 State : Country :
 Phone No. : Fax : Website :

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

Name of Stock Broker : Name of Authorised Person (if any)
 Registered Office Address :
 Pin Code :
 Client Code : Exchange :

Details of disputes/dues pending from/to such stock broker/Authorised Person

H. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) :
☐ Physical Contract Note ☐ Electronic Contract Note
 Specify your Email id, if applicable :
- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify) ☐ Yes ☐ No
- Number of years of Investment/Trading Experience Years & In Commodities Years
- 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.....
- Any other information

I. INTRODUCER DETAILS (For Trading Account)

Name of the Introducer :
 Status of the Introducer : ☐ Authorized Person ☐ Existing Client
☐ Others, please specify.....
 Address of the Introducer :
 City/Town/Village : Pin Code :
 State : Country :
 Phone No. :
 Signature of Introducer :

J. Clearing Member Details (to be filled up by Clearing Member Only)

1.	Name of Stock Exchange	
2.	Name of Clearing Corporation / Clearing House	
3.	Clearing Member ID	
4.	SEBI Registration Number	
5.	Trade Name	
6.	CM - BP - ID (to be filled up by Participant)	

K. DETAILS OF RELATED PERSON

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

Related Person Type*
 ☐ Guardian of Minor
 ☐ Assignee
 ☐ Authorized Representative

Name*
 Prefix
 First Name
 Middle Name
 Last Name

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

PROOF OF IDENTITY [PoI] OF RELATED PERSON*

☐ A- Passport Number
 Passport Expiry Date DD - MM YY YY

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence
 Driving Licence Expiry Date DD - MM YY YY

☐ E- UID (Aadhaar)

☐ F- NREGA Job Card

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

☐ S- Simplified Measures Account - Document Type code
 Identification Number

INTRODUCTION FOR CORPORATE DEMAT ACCOUNT

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

☐ DP ID : IN 302365 Client ID : _____ (Incase of existing account holder)

☐ DP ID : IN 12058200 Client ID : _____ (Incase of existing account holder)

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

Name : _____

Signature of Introducer /
 Signature and Seal incase of Bank
 (To be verified by DP official)

Notes

- All Communication shall be sent at the address of the Sole/First holder only.
- 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.
- Strike off whichever is not applicable.

RISK DISCLOSURES ON DERIVATIVES

- 9 out of 10 individual traders in equity Future and Options Segment, incurred net losses.
- On an average, loss makers registered net trading loss close to Rs. 50,000.
- Over and above the net trading losses incurred, loss makers expended and additional 28% of net trading losses as transaction costs.
- Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

Source:

SEBI study dated January 25, 2023 on "Analysis of Profit and Loss of individual Traders dealing in equity Futures and Options (F&O) Segment", where in Aggregate Level findings are based on annual Profit/Loss incurred by individual traders in equity F & O during FY 2021-22.

I have read and understood the above-stated Risk Disclosure and acknowledge the same.

Signature of Client (13) 

DECLARATION**I 8(a)**

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

Additional Declaration :

I/We Confirm that I have got copies of (a) Rights and Obligations (b) Risk Disclosure Document (RDD) (c) Guidance note for Do's and Don'ts (d) Policies and Procedures (e) Investor Charter (f) Tariff Sheet for Exchanges and Depositories

Date :

Signature of Client (14) 

Place :

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

Statement Of Account Receiving In Electronic Mode**I 8(b)**

To,

SHRI PARASRAM HOLDINGS PVT LTD
Gupta Chambers, B 7, Nimri Shopping Centre,
Bharat Nagar, Delhi - 110052

I/We had entered into DP BO agreement with you. I/We confirm having opted to receive the statement of accounts pertaining to our BO account in electronic mode in lieu of physical copy of the statement of account.

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

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

Yours faithfully,

Signatures (15)  (07) (07)

Sole/First Holder Signature Second Holder Signature Third Holder Signature

OPTION FORM FOR ISSUE OF DIS BOOKLET

(OPTIONAL)

NSDL DP ID :	I	N	3	0	2	3	6	5	Client ID								
CDSL DP ID :	I	2	0	5	8	2	0	0	Client ID								

To
SHRI PARASRAM HOLDINGS PVT LTD.
Gupta Chamber, B-7, Nimri Shopping Centre, Delhi - 52

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

Dear Sir,
I/We hereby state that: (select one of the option given below)

☐ Option 1

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our Demat account though I/We have issued a DEMAND DEBIT AND PLEDGE INSTRUCTION(DDPI) in favour of Shri Parasram Holding Pvt. Ltd. for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member.

☐ Option 2

I/We do not require Delivery Instruction Slip (DIS) for time being. Since I/We have issued a (DDPI) in favor of Shri Parasram Holding Pvt. Ltd. for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

Signatures (16)  _____ (08)  _____ (08)  _____
Sole/First Holder Signature Second Holder Signature Third Holder Signature

DECLARATION FOR NAME MISMATCH

(To be filled if the name on documents is different)

This is to bring to your notice that my name is spelt differently in my Identity proof, Address proof and Bank proof. Please find below the names as spelt in respective proofs.

Name as per Income Tax	
Name as per Bank Proof	
Name as per Aadhar Proof	
Name as per Income Proof	

I hereby confirm that all the said names belong to me. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep Shri Parasram Holdings Pvt. Ltd. indemnified at all times from and against all costs, charges, damages, penalties (Including reasonable attorney fees) suffered and/or incurred by Shri Parasram Holdings Pvt. Ltd. for any act done or omitted to be done on the above declaration.

Signature of Client (17) 

Declaration for Basic Services Demat Account (BSDA)

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

To,

Shri Parasram Holdings Pvt. Ltd.

Gupta Chamber, B 7 Nimri Shopping Centre

Bharat Nagar, New Delhi - 110052

With reference to my / our application for opening a depository account, I/ We request you to open my / our depository account as per the following details:

	Name	PAN									
Sole/First Holder											
Second Holder											
Third Holder											

I/We have read and understood the Securities and Exchange Board of India guidelines for facility for a BSDA.

I/We are aware that if I/we are eligible to open a depository account as a BSDA, the account shall be opened as a BSDA.

I/We also understand that in case, I/We at any point of time do not meet the eligibility criteria as a BSDA holder, my / our demat account is liable to be converted to regular account.

I/We also state that if at any time choose to opt out of BSDA i.e. avail the facility of regular account the same will be communicated to the Participant from Sole / First Holder registered email ID.

Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder
(18) 	(09) 	(09) 

Note:

BSDA a/c holder can have only one demat account across all DPs and holding value should exceed as per SEBI circular at any point, regular account charges would apply.

The charge structure shall be as indicated below: Value of Holdings in Demat Account (Debt as well as other than debt securities combined)	Annual Maintenance Charges
Up to 4 Lakhs	Nil
More than 4 lakhs but up to 10 lakhs	Rs. 100
More than 10 lakhs	Regular AMC

General Tariff Card for Demat Beneficiary (Client) Accounts

NSDL/CDSL

Schedule of Charges for DP Services

		Scheme- I	Scheme-2 LifeTimeA/C** (10 Years)	Scheme-2 For Corporate Clients	Scheme -4 BSDA
	SCHEME OPTED (TICK)				
1	Account Opening Charges (including first year AMC)	Nil	Nil	Nil	Nil
2	Annual maintenance Charges	Rs.350/- plus GST	Rs.1000/- plus GST	Rs. 1250/- plus GST	Nil
3	Market Transactions	Rs.18/- per instruction [within SPHPL] , Rs. 30/- per instruction [outside SPHPL]	Rs.18/- per instruction [within SPHPL] , Rs. 30/- per instruction [outside SPHPL]	Rs.18/- per instruction [within SPHPL] , Rs. 30/- per instruction [outside SPHPL]	Rs.18/- per instruction [within SPHPL] , Rs. 30/- per instruction [outside SPHPL]
4	Off Market Transactions/ Inter Depository Transactions	Rs.30/- per instruction or 0.02% of transaction value, whichever is higher, subject to maximum of Rs. 100/-	Rs.30/- per instruction or 0.02% of transaction value, whichever is higher, subject to maximum of Rs.100/-	Rs.40/- per instruction or 0.02% of transaction value, whichever is higher, subject to maximum of Rs. 200/-	Rs.30/- per instruction or 0.02% of transaction value, whichever is higher, subject to maximum of Rs. 100/-
5	Dematerialisation Charges (Upfront)	Rs. 30/- per DRF + Rs.10/- per certificate + Rs.40/- Courier Expenses			
6	Rematerialisation Charges (Upfront)	Rs.50/- per certificate + Rs.40/- Courier Expenses			
7	DIS Book (First free of 10 leaves)	Rs.30/- per 10 Leaves + Rs.40/- Courier Expenses			
8	DIS Book (requested without requisition slip)	Rs.50/- per 10 Leaves + Rs.40/- Courier Expenses			
9	Creation and Closure / Invocation of Pledge (Chargeable from the Pledgor)	0.02 % (Min Rs.50/- per pledge)			
10	Reconversion of MF	Rs.25/- + Rs.40/- Courier Expenses			
11	Failed Delivery Instruction	Rs.30/- per instruction			
12	Speed-e (Enablement)	Rs.200/-			
13	Rejection of demat request	Rs.30/- per rejection + Rs.40/- Courier Expenses			
14	CAS Charges	As per NSDL			
15	Issue of Additional Statements	Rs.10/- per page			
16	Modification in Client Master	Rs.50/- per instance			
17	Margin/MTF Pledge Creation	Rs.18/- Per instruction			
18	Margin/MTF Pledge Closure	Rs.18/- Per instruction			
19	Unconfirmed Pledge Charges	Rs.18/- Per instruction			
20	POA Activation	Rs.50/-			
21	Speed Post Charges	Rs.50/-			
22	NDU (Hold On) Charges	0.02% or Rs.100/- whichever is higher			
23	NDU (Release) Charges	0.02% or Rs.100/- whichever is higher			

Notes:

- Interest @ 13% plus GST will be charged on outstanding payment after due date and will be payable by client
- I may have a Trading As well as depository relationship with SPHPL. I authorise to debit depository charges / bill from my trading account as and when required.
- The Depository Participant Reserves its right to Revise the charges by giving a notice to client for not less than 30 days.
- GST and Stamp duty on Off Market transaction & any other statutory charges shall be charged as per rules.
- BSDA a/c holder can have only one demat account across all DPs and holding value if exceeds the limit defined by SEBI/Depositories in its circulars at any point of time, the BSDA shall be changed into regular account and charges would apply accordingly.
- E-sign, Digilocker, Stamp Paper, KRA & Payment-gateway charges are payable to Service Providers.
- **Valid for 10 years only (Life time Scheme)

Charge for BSDA shall be indicated below:

BSDA (Basic Services Demat Account)

NSDL/CDSL

Value of Holdings in Demat Account (Debt as well as other than debt securities)	Annual Maintenance Charges
Up to 4 Lakhs	Nil
More than 4 Lakhs but up to 10 Lakhs	Rs. 100/-
More than 10 Lakhs	Regular AMC

Signatures

(19) 

Sole/First Holder Signature

(10) 

Second Holder Signature

(10) 

Third Holder Signature

TARIFF SHEET FOR TRADING ACCOUNT

22 (a)

	Intra Day		Delivery		Futures		Options		Fixed	
Exchnages	Slab in %	Min. Per Share	Slab in %	Min. Per Share	Slab in %	Min. Per Lot	Slab in %	Min. Per Lot	Min. Per Lot/Unit	Min. Per share/Unit
NSE										
BSE										
NSE - Currency			N.A	N.A						
NSE -SLB					N.A	N.A	N.A	N.A		
BSE - SLB					N.A	N.A	N.A	N.A		
MCX & NSE-COM										
MSIE			N.A	N.A						
Mutual Fund	N.A	N.A	N.A	N.A	N.A	N.A	N.A	N.A	%	
Others										

- In case of Options the brokerage shall be charged on premium amount only and slab shall be generally 25 times of the slab for future.
- Other regulatory charges include Exchange Turnover Charges, SEBI Transaction Tax & Stamp Duty.
- STT,CTT, GST and other statutory charges would be as applicable and are subject to change as per official (Government) notifications.
- KRA Charges (Know your Client Registration Agency) are also payable in addition to above charges.

Signature of Client (20) 

DECLARATION BY THE CLIENT TO ABIDE THE NET OPEN INTEREST POSITION AS PERMISSIBLE IN ANY COMMODITY (OPTIONAL) 22 (b)

Dear Sir,

Subject : My / Our request for trading in commodity forward contracts / commodity derivatives on All Exchanges as your client

I/We, the undersigned, have taken cognizance of circular no. MCX/S&I/300/2017 dated August 23, 2017 issued by the Multi Commodity Exchange of India Ltd. (MCX), Sebi circular No. SEBI/HO/CDMRD/DMP/CIR/P/2016/96 dated september 27, 2016 and other circulars issued by SEBI/Exchange from time to time on stated matter on the guidelines for calculation of net open positions permitted in any commodity and I/We hereby undertake to comply with the same. I/We hereby undertake that I/We do not trade through any Trading member other than Shri Parasram Holdings Pvt. Ltd.

OR

I/We hereby declare that I/We are also trading in Commodities through _____ (name of the Trading Member) having Member ID _____ in ☐ MCX under the Client ID _____ and through _____ name of the Trading Member having Member ID _____ in ☐ MCX under the Client ID _____.

I/We hereby declare and undertake that I/we will not exceed the position limits prescribed from time to time by **MCX** or SEBI and such position limits will be calculated in accordance with the contents of above stated circulars of all exchanges as modified from time to time.

I/We undertake to inform you or keep you informed if any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/Trusts in which I or any of above such person is a partner/director/karta/trustee, take or holds any position in any commodity forward contract/commodity derivative on **MCX** through you or through any other member(s) of **MCX** to enable you to restrict our position limit as prescribed by the above referred circular of **MCX** as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives from me/us as your client on **MCX** only on the basis of our above assurance and undertaking.

I/We further undertake to bear any liability/penalty/charges levied by **MCX** for the non compliance of the aforesaid circulars or as modified from time to time.

Yours faithfully

Signature of Client (21) 

TERMS AND CONDITIONS-CUM-REGISTRATION / MODIFICATION FORM FOR RECEIVING SMS ALERTS FROM CDSL
[SMS Alerts will be sent by CDSL to BOs for all debits and for all credits as well.] **Annexure - A**

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 account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period/indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BO's 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 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. The BO is advised not to inform the service provider about any such unauthorized debit to/transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without 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 warrant the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/misuse of such information by any third person.

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

I/We wish to avail the SMSAlerts 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 SMSAlert 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 there to made by the depository from time to time.

I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

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

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

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

CDSL DP ID :	1	2	0	5	8	2	0	0	Client ID								
	(Please write your 8 digit DPID)								(Please write your 8 digit Client/BO ID)								
Sole / First Holder's Name																	
Second Holder's Name																	
Third Holder's Name																	
Mobile Number 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)																	
Signatures	(22)		(11)		(11)												
	Sole/First Holder Signature			Second Holder Signature			Third Holder Signature										
Place							Date										

To,
SHRI PARASRAM HOLDINGS PRIVATE LIMITED
Gupta Chamber, B - 7, Nimri Shopping Centre
Bharat Nagar, Delhi - 110052

SUBJECT: RUNNING ACCOUNT AUTHORISATION
UCC: _____

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency Segment and/or Commodity Segment and/or Mutual Fund Segment & in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

- 1) I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation (s) at any segment (s) of any or all the Exchange(s)/Clearing Corporation unless I/we instruct you otherwise.
- 2) I/we request you to settle my fund once in [] 30 days or once in [] 90days or such other period as allowed by SEBI/Stock Exchange time to time except the funds given towards collateral/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
- 3) In case I/we have and outstanding obligation on the settlement date, you may retain the requisite Funds Units towards such obligations and may also retain the funds as calculated in the manner specified by the exchanges.
- 4) I/We confirm you that I/we will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 30 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.

The running account authorization provided by me/us shall continue and remain valid until it is revoked by me/us anytime in writing.

Thanking you,
Yours faithfully,

Name: _____

Date: _____

Signature of Client (23) 

FATCA & CRS DECLARATION (FOR INDIVIDUAL)
25(b)

Do you have any non-indian Country(ies) of Birth / Citizenship / Nationality and Tax Residency? ☐ Yes ☐ No

Sole/First Holder/Guardian ☐ Yes ☐ No		Second Holder ☐ Yes ☐ No		Third Holder ☐ Yes ☐ No	
Country of Birth		Country of Birth		Country of Birth	
Country of Citizenship/ Nationality		Country of Citizenship/ Nationality		Country of Citizenship/ Nationality	
Are you a US Specified Person?	☐ Yes ☐ No Please provide Tax Payer Id	Are you a US Specified Person?	☐ Yes ☐ No Please provide Tax Payer Id	Are you a US Specified Person?	☐ Yes ☐ No Please provide Tax Payer Id
Country of Tax Residency* (Other than India)	Taxpayer Identification No.	Country of Tax Residency* (Other than India)	Taxpayer Identification No.	Country of Tax Residency* (Other than India)	Taxpayer Identification No.
1.		1.		1.	
2.		2.		2.	

*Please indicate all countries in which you are a resident for tax purpose and associated Taxpayer identification number.

FATCA - CRS Terms and Conditions

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Shri Parasram Holdings Pvt. Ltd. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOL).

Signatures (24)  _____ (12)  _____ (12)  _____
Sole/First Holder Signature Second Holder Signature Third Holder Signature

*For detail terms & conditions please see Client Copy

FATCA & CRS DECLARATION (FOR NON-INDIVIDUAL)

Please tick the applicable tax resident declaration -

I. Is "Entity" a tax resident of any country other than India ☐ Yes ☐ No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Sr. No.	Country	Tax Identification Number*	Identification Type (TIN or Other ; please specify)
1.			
2.			
3.			

* In case Tax Identification Number is not available, kindly provide its functional equivalent.

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

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

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

1. We are a, Financial institution ☐ (Refer 1 of Part C) or Direct reporting NFE ☐ (Refer 3(vii) of Part C) (please tick as appropriate)	GIIN Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below Name of sponsoring entity
GIIN not available (please tick as applicable)	☐ Applied for ☐ Not obtained – Non-participating FI ☐ Not required to apply for - please specify 2 digits sub-category (Refer 1 A of Part C)

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

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

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

Category (Please tick applicable category):

☐ Unlisted Company	☐ Partnership Firm	☐ Limited Liability Partnership Company
☐ Unincorporated association / body of individuals	☐ Public Charitable Trust	☐ Religious Trust
☐ Others (please specify)	☐ Private Trust	

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN #			
Address	Zip State: _____ Country: _____	Zip State: _____ Country: _____	Zip State: _____ Country: _____

Address Type	☐ Residence ☐ Business ☐ Registered office	☐ Residence ☐ Business ☐ Registered office	☐ Residence ☐ Business ☐ Registered office
Tax ID %			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	☐ Service ☐ Business ☐ Others _____	☐ Service ☐ Business ☐ Others _____	☐ Service ☐ Business ☐ Others _____
Nationality			
Father's Name			
Gender	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) [§]			

* To include US, where controlling person is a US citizen or green card holder

If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

[¶] In case Tax Identification Number is not available, kindly provide functional equivalent

[§] Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Shri Parasram Holdings Pvt. Ltd. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name	
Designation	

Signatures (25)  _____ (13)  _____ (13)  _____
 Sole/First Holder Signature Second Holder Signature Third Holder Signature

Place _____ Date ____/____/____

*For detail terms & conditions please see Client Copy

COMMODITY WISE CATEGORY DECLARATION

To,
Shri Parasram Holdings Pvt. Ltd.
 Gupta Chambers, B-7, Nimri Shopping Centre,
 Bharat Nagar, Delhi-110052

Sub: Self Declaration about commodity wise categorization

Ref: My/Our Trading Code: _____

With reference to the SEBI's Circular No. SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 dated January 04, 2019 as well as relevant circulars of **NSE/MCX** in this respect, I/We wish to declare my/our client category as under:

[PLEASE TICK (✓) IN THE BOX ONLY FOR YOUR RELEVANT CLIENT CATEGORY FOR COMMODITY YOU DEAL INTO/WISH TO DEAL]

Commodity Name	Category					
	FPOs/ Farmers	VCPs	DFII	FPs	Proprietary Trader	Others
ALUMINIUM						
COPPER						
COTTONCNDY						
CRUDEOIL						
GOLD						
KAPAS						

Commodity Name	Category					
	FPOs/ Farmers	VCPs	DFII	FPs	Proprietary Trader	Others
LEAD						
MENTHAOIL						
NATURALGAS						
NICKEL						
SILVER						
ZINC						

(Please mention appropriate category against each commodity you deal or wish to deal into)

I/We further declare that I/We shall update our category as and when deal in new commodity and/or any change in our existing category.

Signature of Client (26) 



(In case of Non-individual, sign with rubber stamp)

Date: _____

Farmer's/FPOs Includes:	Farmers, Farmers Cooperatives, Farmers Producers Organisation (FPO) and such entities of like nature.
Value Chain Participants (VCPs) includes:	Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry Participants, Produces, SME's/MSMEs & Wholesalers etc., but exclude farmers/FPOs.
Domestic Financial Institutional Investors Includes:	Mutual funds (MFS), Portfolio Managers, alternative Investment Funds (AIFS), Banks, insurance Companies and pension Funds etc., Which are allowed to trade in commodity derivatives.
Foreign Participants Includes :	Eligible foreign Entities (EFES), NRIs etc. which are allowed to trade in commodity derivatives markets.
Others Includes :	All other participants which cannot be classified in the above categories.

To,
SHRI PARASRAM HOLDINGS PVT LTD
Gupta Chambers, B 7, Nimri Shopping Centre,
Bharat Nagar, Delhi - 110052
Dear sir,

I/We a client with Member M/s. Shri Parasram Holdings Pvt. Ltd. of NSE, BSE, MSEI, and MCX Exchange undertake as follows:

- I/We am/our aware that the Member has to provide physical contract note in respect of all the trades placed by me/us unless I/We myself/ourselves want the same in the electronic form.
- I/We am aware that the Member has to provide electronic contract note for my/our convenience on my/our request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me/our.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My/our email id is as given on KYC. This has been created by me and not by someone else.
- I/we am aware that this declaration form should be in English or in any other language known to me.
- I/we am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am/our aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

*(The email id must be written in Own handwriting of the client.)

Signature of Client (27) 

**VERBAL ORDER ACCEPTANCE AUTHORIZATION****29(b)**

I/We am dealing with you as client at NSE/BSE/MSEI/MCX in Capital, Equity Derivative, Commodity Derivative Segment & Currency Derivative Segment. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/ dealing on my/our behalf as per instruction given below.

I/We agree and acknowledge that it is advised by you that I/We should give instruction for order placement/ modification and cancellation in writing and to avoid disputes, I/We must give instruction in writing in duplicate (carbon copy/ photocopy only) and take signatures of at least two authorized officers at the branch along with company stamp on the carbon copy/ photocopy of the instructions in acknowledgment of receipt of my our instructions.

However as I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in 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/modification and cancellation in person or over phone (fixed line/mobile phone) and execute the same. I/ We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) by shifting the burden of proof by asking you to prove the placement/modification and cancellation of orders through telephone recording or otherwise.

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

Signature of Client (28) 



E-MAIL ID / MOBILE NUMBER DECLARATION

To,
SHRI PARASRAM HOLDINGS PRIVATE LIMITED
 Gupta Chambers B-7, Nimri Shopping Centre,
 Bharat Nagar, Delhi-110052

Trading Code : _____
 Demat Client ID : _____
 Date : _____

Dear Sir,

The given E-mail ID _____ and Mobile No. _____ belongs to Me/Spouse/ Family Member (Please tick to Specify) and I/We hereby request you to send all your communications pertaining to my/our trade like Trade Confirmations, Contract Notes, MTM Obligation, Margin Calls or any other communication (which is necessary from Compliance point of view) including the verification call from SPHPL etc. on the mentioned Mobile number/Email id. I confirm that I am aware of SEBI Exchange guidelines that e-mail ID or mobile no. can be shared only with spouse I dependent children I dependent parents. I am sharing my e-mail ID I mobile No. as under:

E-MAIL ID AND MOBILE NUMBER SHARED WITH

Name	Trading Code	Demat ID	Relation (Please Mention) (spouse/dependent children/ parents)	Signature	E-mail ID	Mobile No.
					☐	☐
					☐	☐
					☐	☐
					☐	☐
					☐	☐
					☐	☐

I/We am/are also aware that the Exchanges have been pursuing a process of confirming the trade details directly to the Clients via SMS and Email alerts which they have carried out through their respective Trading Member. Accordingly, I/We accord my/our consent to receive those SMS as well as Emails alerts directly from the Exchanges on the above stated contact details for the purpose. I/We hereby authorize you for sharing the said contact details with Exchanges.

Yours faithfully,

	Sole / First Holder (Mr./Ms.)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
Name			
Signatures	(29) 	(14) 	(14) 

To,
SHRI PARASRAM HOLDINGS PRIVATE LIMITED
Gupta Chambers B-7, Nimri Shopping Centre, Bharat Nagar, Delhi-I 10052

Sub: Letter of Authority

I/we dealing with you as client at NSE/BSE/MSEI/MCX in Capital, Equity Derivative, Commodity Derivative Segment & Currency Derivative Segment and in order to facilitate ease of operations, I/We authorise you as under :

1. I/We authorise 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 or in any other exchange and/or against the value of cash margin or collateral shares provided to you by me/us.
2. I/We hereby authorise 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 issued by you.
3. I/We also authorise you to debit the financial charges @2% p.m., for the debit balances or delay payment charges at the rate prescribed by exchange for shortage in margin/debit balances, if any, in my account and not settled as per the exchange requirements.
4. We request that you/exchange/other regulatory authority may send/dispatch us contract notes/e-mail alert/other documents through e-mail on my/our designated e-mail address mentioned by me/us in KYC. I/We will completely rely on the log reports of you dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute on the same. I/We note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at my/our e-mail ID.
5. I/We will inform you the change of my/our demographic detail and other details like Bank, DP etc.
6. 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.
7. All fines/penalties and charges levied upon you due to my acts / deeds or transaction may be recovered by you from my account.
8. I have a Trading As well as depository relationship with SHRI PARASRAM HOLDINGS PRIVATE LIMITED. Please debit the charges relevant with depository services from my trading account on monthly basis. I also agree to maintain the adequate balance in my trading account/ pay adequate advance fee for the said reason.

Yours faithfully,

Signature of Client (30) 

Authority to trade on my / our behalf.

31(b)

I/we am/are the holder of the a trading account bearing number (hereinafter referred to as the **"Account"**) opened and maintained with you and wish to appoint/ nominate (hereinafter referred to as the **"Representative"**), who is my presently residing at..... to perform all or any of the following acts, deeds and things, for and on my/our behalf and in my/our interest.

1. To operate the Account on my/our behalf, and to issue necessary instructions to you, for purchase, sale or transfer of shares and Securities from or to the Account as per Representative own judgment, and to sign necessary documents, wherever required effectuating such instructions of purchase, sale or transfer of securities from or to the Account.
5. To accept and give valid discharges for acceptance and submission of contract notes, bills, ledger statements, transaction statements and all correspondence on my behalf and report any discrepancy therein to SHRI PARASRAM HOLDINGS PRIVATE LIMITED (SPHPL).
6. To receive & accept necessary telephonic calls pertaining to margin &/or trade confirmation or any other call including verification call from SPHPL. at designated mobile no. & undertake to update this contact detail in writing with SPHPL. in the event of any such change, taking place at any time in future.
- A. I/we hereby agree and undertake that all such acts, deeds and things done by the Representative shall be deemed to be binding upon me/us as the same has been done by me/us only and I/we shall hereby ratify all and such acts, deeds, or things done by Representative in any manner whatsoever in discharge of the duties conferred upon him/her under the present instrument.
- B. I/we hereby agree and undertake to indemnify and keep SPHPL. including its directors, officers and employees indemnified against any loss, claims, liabilities, obligations, damages, deficiencies, actions, suits, or proceedings aroused / accrued or caused to the SPHPL. for any wrong act, deed or thing done by the Representative in any manner whatsoever in exercise of the powers conferred upon him.
- C. I/we further undertake and agree not to challenge any act, deed or things done by said Representative in any manner.
- D. I/we hereby agree and acknowledge that this letter of Authority shall be effective and operational until SPHPL. received and acknowledged revocation letter at its registered office.

Signature of Representative 

Signature of Client (31) 

MARGIN TRADING AGREEMENT

This Agreement (hereinafter referred to as "Agreement") is entered into on this.....day of.....20....., by and between Shri Parasram Holdings Private Limited, a Company incorporated under the Companies Act, 1956, having its registered office at Gupta Chambers, B-7, Nimri Shopping Centre, Bharat Nagar, Delhi-52 (hereinafter referred to as "the Broker", which expression shall, unless repugnant to the meaning or context thereof, be deemed to mean and include its successors and assigns) of the One Part;

And

M/s/Mr./Mrs./Ms.....
unique client code being.....
(hereinafter referred to as the "Client" which expression shall, unless repugnant to the context or meaning thereof be deemed to include his/her/its heirs and/or legal representatives and/or successors and/or executors and/or permitted assignees and/or administrators and/or successors in business) of the Other Part.

WHEREAS:

- a. (The Broker is engaged, inter alia, in the business of stock broking and is a Trading Member of National Stock Exchange India Limited (NSE) & Bombay Stock Exchange Limited (BSE), vide SEBI Registration no. INZ000220838.
- b. The Broker, is engaged in providing margin Trading Facility (hereinafter referred to as MTF), as described hereinafter, to those clients who are registered with it as client for availing Stock Broking Services and have also entered into an agreement for availing of the Margin Trading Facility.
- c. The Client is registered with the Broker as a client for stock broking services and is desirous of availing Margin Trading Facility, and has approached the Broker with that request.
- d. Upon the request of the Client, the Broker has agreed to provide the said facility to the client subject to the terms and conditions contained in this Agreement.

NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN THE BROKER AND CLIENT AS UNDER:

I. DEFINITIONS & INTERPRETATIONS

1. "Initial margin" means the minimum amount, calculated as a percentage of the transaction value, to be placed by the client, with the Broker, before the actual purchase. The Broker will advance the balance amount to meet full settlement obligations.
2. "Maintenance margin" means the minimum amount, calculated as a percentage of the market value of the securities, calculated with respect to the last trading day's closing price, to be maintained by the client with the Broker.
3. "Margin Trading Facility" or MTF means and refers to the facility pursuant to which part of the transaction value due to the Stock Exchange, at the time of purchase of Shares, shall be paid by the Broker on behalf of the Client on Client's request, on such terms and conditions as contained in this Agreement.

4. "Mark to Market Loss" or "MTM Loss" means the difference between the purchase value of the shares and the marked to market value of these shares.
5. "Mark to Market Loss" or "MTM Loss" means the difference between the purchase value of the shares and the marked to market value of these shares.
6. "Mark to Market Value of shares" or "MTM Value of Shares" means the value of shares calculated with reference to the previous day's closing price in the Stock Exchange.
7. "Share/s" means and refer to the shares / stock / securities eligible for margin trading facility, as specified by the SEBI from time to time and approved by the Broker for the purpose of granting MTF.
8. "Stock Exchange" means the stock exchange on which the shares has been purchased.

Unless the Context otherwise requires:

1. The expression month and year shall be to the calendar month or calendar year.
2. Reference to date or dates which do not fall on a working day, shall be construed as reference to the day or date falling on the immediately subsequent working day.

II. CLIENT REPRESENTATION

The Client hereby undertakes to:

1. Place the initial and maintenance margin amounts as the Broker may specify to the Client from time to time, subject to requirements specified by SEBI.
2. Authorize retention of the shares with the Broker upon the receipt of the same in the pay out from the Stock exchange till the amount due in respect of the said transaction including the dues to the Broker is paid in full by the client.
3. To pay to the Broker - Brokerage, commission, fees, transaction costs, service tax, stamp duty and other taxes / expenses as are prevailing from time to time and as they apply to the Client's account, transactions and to the Services that the Broker renders to the Client.
4. Abide by any revision in any of the terms of this agreement as may be agreed between the parties.

III. CLIENT'S WARRANTIES

The Client warrants, represents and assures the Broker that:

1. He has the necessary authority to enter into this Agreement and observe and perform the obligations herein contained.
2. He shall duly observe and perform the conditions and obligations stated herein.

IV. BROKER'S REPRESENTATION

The Broker represents that:

On entering into this agreement and deposit of initial margin by the client, the Broker undertakes to settle the obligation towards the Stock Exchange for and on behalf of the Client. The Client hereby agrees and authorizes the Broker to make such payment on his behalf.

V. MARGIN TRADING FACILITY

1. The margin facility shall carry interest at 18% per annum payable/calculated on daily basis.
2. The Client shall be free to take the delivery of the Share at any time by repaying the amounts that was paid by the Broker to the Stock Exchange towards Shares, and further paying all such sums of money as may be due towards Brokerage, transaction costs and charges, service tax and other costs towards his transactions. Alternatively, Client may at any time, but not before the delivery of the Shares has been actually received by the Broker, choose to sell the Shares on the Stock Exchange by issuing appropriate instructions to the Broker.
3. Provided however that, the Client may at his risk as to cost and consequences, choose to sell the Shares prior to receipt of confirmation from the Stock Exchange of delivery of Securities against his Purchase, and in such situation, the Client shall be fully responsible to bear the losses / costs arising due to auctions / closeout by the Stock Exchange, in the event the delivery against purchase fails to materialize.
4. Where the Shares are sold as provided in sub-clause 2/3 above, the Broker will effect the pay-in of Shares to the Stock Exchange in accordance with the Stock Exchange requirements. Upon receipt of sale proceeds from the Stock Exchange towards the sale of Shares, the Broker shall, after deducting therefrom Brokerage, fees, charges, levies, taxes, duties and other costs, charges and expenses, and further deducting amounts due to it from the Client on account of moneys paid by the Broker on his behalf to the Stock Exchange at the time of purchase of Shares, effect the net payment to the Client.
5. The Broker may, at its sole and absolute discretion, revise the limit of initial and/or maintenance margin amount from time to time. The Client agrees and undertakes to abide by such revision, and where there is an upward revision of such margin amount, he agrees to make up the shortfall within such time as the Broker may permit, failing which the Client shall be deemed to be in breach of this Agreement.
6. The MTF shall be provided only in respect of such Shares as may be decided by the Broker from time to time.
7. The Client may furnish further Margin Amount from time to time for availing higher MTF Limit.

VI. MONITORING CLIENT'S POSITIONS

1. The Broker shall monitor and review on a continuous basis the client's positions with regard to the margin trading facility.
2. The Broker shall make a 'margin call' requiring the client to place such Margin Amount as may be specified by the Broker with a view to make up for the MTM Loss, if any, in accordance with SEBI requirements.
3. On receipt of 'margin call' intimation from the Broker, the Client shall make good such deficiency by placing the further Margin Amount, within such time as is specified by SEBI, failing which the Client shall be deemed to be in breach of this Agreement.

4. Notwithstanding what is state above, the Broker may immediately sell the Shares, in the circumstances specified by SEBI and for this purpose, the Client do hereby expressly authorize such sale, and thereafter, the sale proceeds shall be treated in the manner specified in Clause V.4 above. The Broker may, in its sole discretion, determine which Shares is/ are to be sold, and/or which contract(s) is/are to be closed.
5. The Client agrees and understands that the Broker shall have full freedom and authority to vary, modify, revise the initial and maintenance margin amount, minimum transaction amount from time to time, subject to the SEBI requirements in this respect, and Client agrees to abide by such variation, modification or revision.

VII. PLEDGE OF SECURITIES

Notwithstanding anything contained in this Agreement, the Client hereby pledges and shall have deemed to have pledged forthwith the Shares, at the time when received by the Broker, as security for repayment and settlement of amounts due to the Broker from the Client under Margin Trading Facility alongwith interest and other amounts payable thereunder. The Client hereby records that the share certificates account statements or any other documents evidencing the right, title and interest of the Client as the holder of the Securities shall remain deposited and shall be deemed to have been deposited by the Client as having been deposited being marketable securities, for repayment of the amounts due under the Margin Trading Facility and this instrument accordingly shall be deemed to be connected with the mortgage of the marketable securities/Shares as contemplated by Section 24 of the Bombay Stamp Act, 1958/ Section 23A of the Indian Stamp Act, 1899 or the corresponding/relevant provisions of the Stamp Act as in force in the relevant state.

VIII. BREACH OF THIS AGREEMENT

In the event of Client committing any breach of any terms or condition of this Agreement, the Broker shall be entitled to terminate tis Agreement forthwith. However, the Broker at its option may elect to give notice to the Client of such duration, and extended from time to time, if so decided by the Broker, requiring the Client to cure the breach.

IX. TERMINATION & EXPIRY

1. This Agreement shall stand terminated forthwith, as provided in Clause VIII above, or on the Client failing to cure the breach within the time period as provided in the Notice given thereunder.
2. This Agreement shall automatically stand terminated, without any further act on the part of any party hereto, on and from the date of termination/determination of the Client Member Agreement executed between the parties hereto in respect of stock broking services provided/being provided by the Broker to the Client.
3. In the event of termination/determination of this Agreement, the Client shall forthwith settle the dues of the Broker. The Broker shall be entitled to immediately adjust the Margin Amount against the dues of the Client, and the Client hereby authorizes the Broker to make such

adjustment.

4. After such adjustment, if any further amount is due from the Client to the Broker, the Client shall settle the same forthwith. Upon full settlement of all the dues of the Client to the Broker, the Broker shall release the balance amount to the Client.
5. In the event of failure of the Client to settle the dues of the Broker within days, the Broker shall be entitled to enforce its rights and shall be entitled to sell off Shares, and adjust/ apply the net sale proceeds thereof in recovery of its dues.

X. NOTICES & COMMUNICATIONS

Any notice or other communication to be given by one party to the other under or in connection with this Agreement shall be in writing and shall be deemed duly served if delivered personally or sent by confirmed facsimile transmission or by prepaid registered post or email to the addressee at the address/number (if any), of the party set opposite its name below :

(a) Notices/Communications to be sent to:

Shri Parasram Holdings Private Limited

Address : Gupta Chambers B-7, Nimri Shopping Centre, Bharat Nagar, Delhi- I I 0052

Email : ig@sphpl.com

Tel : 011-47000000

(b) Notices / Communications to be sent to the Client:

Address:

Mobile : Fax :

E-mail:

XI. WAIVER

Subject to SEBI requirements, any of the terms and conditions of this Agreement may be waived at any time by the Broker, but no such waiver shall affect or impair the right of the Broker to require observance and performance of any other term or condition hereof and no waiver hereunder shall be considered valid unless made in writing and signed by the Broker and no such waiver, or any failure or delay on the part of the Broker to exercise any right, power or privilege hereunder shall be deemed a waiver of any subsequent breach of default nor shall any single or partial exercise of any such right, power or privilege preclude any further exercise thereof or the exercise of any other right, power or privilege.

XII. CLIENT CONFIDENTIALITY

The member hereby undertakes to maintain, the details of the client as mentioned in the client registration form or any other information pertaining to the Client, in confidence and that he shall not disclose the same to any person/entity except as required under the law. Provided however, that the member may share the details of the Client as mentioned in the Client registration form or any other information pertaining to the Client with parties/entities other than required under law with the express permission of the Client.

In Witness thereof the parties of the Agreement have caused these presents to be executed.

Signed for and on behalf of Stock Broker :

Signature (s)			
Name			
Address	Shri Parasram Holdings Pvt. Ltd. Gupta Chambers B-7, Nimri Shopping Centre, Bharat Nagar, Delhi- I I 0052		
Place		Date	
Witness Signature			
Witness Name			
Witness Address:			

Signed for and on behalf of Client

Signature (s)	(32) 		
Name			
Address			
Place		Date	
Witness Signature			
Witness Name			
Witness Address:			

To,

Shri Parasram Holdings Private Limited

Gupta Chambers B-7, Nimri Shopping Centre, Bharat Nagar, Delhi-I 10052

Dear Sir,

I/We have entered into a Margin Trading agreement dated..... for availing Margin Trading Facility with Shri Parasram Holdings Pvt. Limited (SPHPL). For the purpose of smooth functioning of Margin Trading Facility provided to me/us by SPHPL I/we disclose/confirm/undertake as follows:

1) Details of previous margin Trading facility

Sr. No.		Strike out whichever is not applicable
a.	I/We hereby undertake that I/We have not availed of any margin trading facility from any other broker in any exchange and further my/our request for margin trading with any broker has never been rejected at any point of time. That I/We was/were availing margin trading Facility from the	YES / NO / NA
b.	 (Broker name) vide Registration No. earlier and I/We have liquidated our outstanding in the margin trading account with the said broker, The certificate to this effect in writing from..... (Broker Name) is enclosed herewith.	YES / NO / NA
c.	That my/our application for availing Margin Trading Facility from (Broker Name) had been rejected earlier	YES / NO / NA

- 2) I/We hereby authorize SPHPL to fully liquidate the outstanding position in my/our Margin Trading A/c where the securities are transferred to trade for trade segment from the list of eligible securities so that the position is liquidated fully before the date of such suspension.
- 3) I/We hereby authorize SPHPL to liquidate my/our outstanding position immediately, in case exposure in my/our Margin Trading A/c reaches 10% of your lendable resource with or without any intimation to me.
- 4) I/We undertake that I would be fully responsible and indemnify you in case exposure is taken by me on the basis of any increase in the market value of the securities purchased under Margin Trading Facility.
- 5) I/We hereby authorize the Broker to liquidate the securities under Margin Trading facility if I/We fails to meet the margin call made by broker/representative of the Broker or fail to deposit the cheques immediately or where the cheque deposited by the me/us has been dishonored.
- 6) I/We hereby authorize you to liquidate the securities in case my/our deposit in the margin account (after adjustment for mark to market losses) falls to 30% or less of the latest market value of the securities, in the interregnum between making of the margin call and receipt of payment from me/us.
- 7) I/We understand that the broker shall disclose to the stock exchange/s detail on gross exposure including name of the client, Unique Identification Number (UIN) under the SEBI (Central Database of Market Participants) Regulations, 2003, name of the script and I/We do not have any objection to such disclosure.
- 8) I/We hereby authorize Shri Parasram Holdings Pvt. Limited to put all orders places by me/us for securities approved for margin trading in my/our margin trading account.
- 9) This is to confirm that the initial margin amount being provided by me/us under the margin trading agreement is from my/our own funds and is not from borrowed funds.
- 10) I/We hereby authorize Shri Parasram Holdings Pvt. Limited to act at its discretion for merging balances or transfer of balances kept under my/our various accounts held with NSE or BSE such as Futures & Options, Capital Market - margin trading account and Capital Market-cash account with the same exchange or with different exchanges to nullify the debit in my other account belonging to me/us held with yourselves without taking any further instructions from me/us. I/We agree, empower and authorize SPHPL to merge the securities kept with SPHPL in various accounts in order to nullify the debit in any account belonging to me/us. I/We hereby authorize SPHPL to change or alter the list of Securities on which margin trading is allowed.

Yours faithfully

Signature of Client (33) 



MUTUAL FUND FACILITY

Date:

To,
Shri Parasram Holdings Pvt. Ltd.
Gupta Chambers B-7, Nimri Shopping Centre, Bharat Nagar, Delhi- I I 0052

Sub: Mutual Fund Service System (MFSS) Facility/BSE Star Mutual Fund Facility & other MF approved platform.

Sir,
I/We _____ am/are registered as your client with UCC No. _____
for the purpose of trading in the Capital market segment and/or Derivatives segment. I/We am/are interested in availing the trading facility of the Exchanges For the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS and/ or BSE Star MF and/or other MF. For the purpose of availing these facilities, I/we state that know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of this facility and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the NSE Circular dated November 24, 2009, BSE circular dated December 2, 2009 and as may be specified by the Exchanges 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 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 agree and authorize you to issue payment on my behalf by debiting my account with the value of my/our transactions along with charges.

I/we therefore request you to register me/us as your client for participating in mutual fund trading facility of exchanges.

Details of terms & conditions for the Investor / Client for using MFSS facility BSE Star MF & other MF Platform

- I. Pre-requisites for becoming Investor / Client for the MFSS facility/BSE Star MF/other MF platform.
 - I.1 The client who is desirous fo investing in units of mutual fund schemes through the MFSS/BSE STAR/other MF platform.
 - I.2 The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the broker who is a Mutual Fund Intermediary (MFI) of the MFSS/BSE STAR/other MF platform.
 - I.3 The client has satisfied itself of the capacity of the MFI to deal in Mutual Fund units and wishes to execute its instruction through the MFI and the client shall from time to time continue to satisfy itself of such capability of the MFI before executing transacting through the MFI.
 - I.4 The Client has approached to the MFI with the application for availing the MFSS facility/BSE STAR/other MF platform.
 - I.5 The client has submitted relevant KYC (Know Your Client) details to the MFIs.
2. **Terms and Conditions**
 - 2.1 The client shall be bound by circulars/notices issued by NSEIL/BSE from time to time including the Circulars issued by NSEIL/BSE and 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 MFI in writing if there is any change in the information in the 'client registration from' provided by the client to the MFI at the time of registering as a client for participating in the MFSS/BSE STAR/other MF platform or at any time thereafter.
 - 2.3 The client shall submit to the MFI a completed application form in the manner prescribed format for the purpose of placing a subscription other with the MFI.
 - 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 Exchanges, SEBI and AMFI.
 - 2.7 The Client shall pay to the MFI fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transaction and to the services that MFI renders to the Client.
 - 2.8 The Client will furnish information to the MFI in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree 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 MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any Fund of NSEIL/BSE or NSCCL/Indian Clearing Corporation Ltd. (ICCL), other exchanges/Clearing Corporation.
 - 2.10 In case of any dispute between the MFIs and the investor arising out of the MFSS facility/BSE STAR/other MF platform, exchanges and / or NSCCL/ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

Signature of Client (34) 



Client Name _____

DECLARATION BY KARTA & ALL CO-PARCENERS (Compulsory in case of HUF Account)

SHRI PARASRAM HOLDINGS PRIVATE LIMITED

Gupta Chambers B-7, Nimri Shopping Centre, Bharat Nagar, Delhi-I 10052

Dear Sir,

1. Whereas the Hindu Undivided Family of _____ is carrying on business in the firm name and style of _____ at _____ or we intent to deal have or desire to have Trading Account With **SHRI PARASRAM HOLDINGS PVT. LTD.** (hereinafter referred as 'Member'). We undersigned, hereby confirm and declare that we are the present adult co-parceners of the said joint family; that Mr. / Mrs. _____ is the present Karta of the said joint family.
2. We hereby confirm that affairs of HUF firm are carried on mainly by the Karta Mr./ Mrs. _____ on behalf and in the interest and for the benefit of all the co-parceners. We hereby authorize the Karta on behalf of the HUF to deal with the member and the said Trading Member is hereby authorized to honor all instructions oral or written, given by him on behalf of the HUF. He authorized to sell, purchase, transfer, endorse, negotiate documents and / or otherwise deal through the member on behalf of the HUF. He is also authorized to sign execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said HUF firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every co-parcener of the said joint family, including the share of the minor co-parceners, if any.
3. We undertake to advise the member in writing of any change that may occur in the Kartaship or in the constitution of the said joint family or of said HUF firm and until receipt of such notice by the member who shall be binding on the said joint family and the said HUF firm and on our respective estates. We shall, however, continue to be liable jointly and severally to the member for all dues obligations of the said HUF firm in the Member's book on the date of the receipt of such notice by the member and until all such dues and obligations shall have been liquidated and discharged.
4. The names and dates of the birth of all the present minor & major co-parceners of the said joint family are given below. We also undertake to inform you in writing as and when each of the said members attains the majority and in authorized to act on behalf of, and bind the said HUF firm.

S. No.	Name of the Member /Coparcener	Gender (M/F)	Relationship with karta	Whether Coparcener /Member (Please Tick)	Date of Birth	Signature ***
1.				Member/Coparcener		
2.				Member/Coparcener		
3.				Member/Coparcener		
4.				Member/Coparcener		
5.				Member/Coparcener		

In case of Minor, signature of Karta is required.

Name of Karta: _____

(35)  **Signature of Karta with Rubber Stamp**

Place : _____

DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)

I/We agree to the terms and conditions of Demat Debit & Pledge Instructions (herein referred to as DDPI) between the undersigned individual(s)/entities (hereinafter referred to as client (s) and Shri Parasram Holdings Pvt. Ltd. (hereinafter referred to as SPHPL) a company duly incorporated under Companies Act 1956 and having registered address at Gupta Chamber B 7, Nimri Shopping Centre, Bharat Nagar, Delhi – 110052.

Whereas SPHPL is SEBI registered Stock Broker & Depository Participant and provides stock broking and depository participant services to their registered clients. Whereas SPHPL has the following Principal account/ Clearing Member account/ Early Pay-in/Pool/ Margin Pledge accounts/CMBP IDs to receive securities from the clients:

Sr. No.	Account Type	CMBP ID/DPID - Demat Account
I	Pool Account	IN302365 -10000463, 12058200-00000010, IN302365 -10167746
II	Client Securities Margin Pledge Account	IN302365-11305720, 12058200-00106009, IN302365-11410499
III	Early Pay-in	11000011-00015314
IV	Mutual Fund	IN565576 -NSCCL, IN620031-ICCL

Whereas, the Client(s) are desirous of availing various broking and depository participant services offered by SPHPL and to facilitate the transactions and services in broking and/or depository account (s) seamlessly, the Client(s) authorize SPHPL to execute instructions and perform severally the following acts by accessing the beneficial owner account(s) of Client(s):

Sr. No.	Particulars	Sign of 1 st Holder	Sign of 2 nd Holder	Sign of 3 rd Holder
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries/settlement obligations arising out of trades executed by the client on the Stock Exchange through the same stockbroker.			
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the client on the Stock Exchange.			
3	Mutual Fund Transactions being executed on Stock Exchanges order entry platforms			
4	Tendering shares in open offers through Stock Exchanges platforms			

This DDPI document is made on the date and place mentioned hereunder:

Client Name			
Demat DP ID & Client ID	NSDL- IN302365-_____	Trading Code (UCC)	
	CDSL – 12058200-_____		
Date	____/____/20__	Place	

(36) 

Signature Sole/First Holder

(15) 

Signature Second Holder

(15) 

Signature Third Holder

**** DDPI should be executed on Rs.100/- non-judicial stamp paper. ****



INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (For Trading and Demat Account)

A. IMPORTANT POINTS

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

B. Proof of Identity (POI)

List of documents admissible as proof of Identity:

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

C. Proof of Address

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

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- ✓ BSE - Future & Options
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