

Branch Name:

Application No.:



Account Opening Form (Non Individual)

Broking & Depository Services

PLEASE READ THIS DOCUMENT CAREFULLY BEFORE AGREEING TO ITS CONTENTS
AND ENSURE ALL THE DETAILS PROVIDED ARE CORRECT.

Client Name _____

Category _____

Client Code _____ **BO ID: 12085900**

☐ Trading Account ☐ Demat Account ☐ Both

IMPORTANT DECLARATIONS BY ELARA SECURITIES (INDIA) PRIVATE LIMITED

- Elara Securities (India) Private Limited draws the attention of prospective constituent(s) towards the SEBI circular no. SEBI/MIRSD/16/2011 dated August, 22, 2011 and other related circulars in this regard.
- Kindly note SEBI vide its circular no. SEBI/MRD/SE/Cir-42/2003 dated 19th November, 2003 has directed all Stock Brokers to disclose details of proprietary trading to its clients. Elara Securities (India) Private Limited wishes to state that it may engage in proprietary trading in both Cash & F&O Segments.
- Elara Securities (India) Private Limited, further confirms that additional clauses, if any, in the documents herein are not in conflict with any of the clauses in the model document or the rules, regulations, articles, byelaws, circulars, directives and guidelines in this regard as issued by SEBI or National Stock Exchange of India Limited or Bombay Stock Exchange Limited.
- Mandatory and Voluntary Documents/ Clauses have been separately indicated
- As per SEBI Circular CIR/MIRSD/64/2016 dated July 12, 2016, the standard set of documents such as Rights & Obligations of stock-broker and client, uniform Risk Disclosure Document and Guidance Note detailing do's and don'ts for trading on stock exchanges are required to be provided to the client as detailed in the index in the following page. Further, these standard documents may be provided to the client in electronic form (e-mail) or physical form as per the preference of the client. If you wish to receive physical copies of the same, kindly contact our Operations Department on Eq.Ops@elaracapital.com / pcg.Ops@elaracapital.com and we shall provide you the physical copies of the standard documents.

| IMPORTANT INFORMATION | | |
|--------------------------------|--|--|
| Name of the Trading Member | Elara Securities (India) Private Limited (CIN: U74992MH2007PTC172297) | |
| SEBI Registration No. | SEBI REGISTRATION NO.: INZ000238236, Member of BSE Limited (CM, F&O) and National Stock Exchange of India Limited (CM, F&O) – March 13, 2019 | |
| PCM | Globe Capital Market Limited, 609, Ansal Bhawan, 16 K. G. Marg, Connaught Place, New Delhi-110 001 Phone No. +91 11 3041 2345 / SEBI Reg. No. INZ000177137 | |
| Registered Office Address | One International Center, Tower 3, 21st Floor, Senapati Bapat Marg, Elphinstone Road West, Mumbai – 400 013, India. Phone No. +91 22 6164 8500 / Fax No. +91 22 6164 8569 | |
| Correspondence Office Address | One International Center, Tower 3, 21st Floor, Senapati Bapat Marg, Elphinstone Road West, Mumbai – 400 013, India. Phone No. +91 22 6164 8500 / Fax No. +91 22 6164 8569 | |
| Compliance Officer | Mr. Anand A Rao (Broking) Phone No. +91 22 6164 8509 Email ID: anand.rao@elaracapital.com | Mr. Vijay Lohar (DP) Phone No. +91 22 4204 8606 Email ID: vijay.lohar@elaracapital.com |
| CEO Name, Phone No. & Email ID | Mr. Harendra Kumar, Managing Director Phone No. +91 22 6164 8500 Email ID: harendra.kumar@elaracapital.com | |

For any grievance /disputes please contact Elara Securities (India) Private Limited at the above address or Email ID – investor.grievances@elaracapital.com for Stock Broking and DP related dispute or can speak on Phone No.+91 22 6164 8500.

In case not satisfied with the response please contact the concerned exchanges at:

| Sr. No | Exchange / DP | Email Id | Contact No |
|--------|---|--------------------------|---------------|
| 1 | National Stock Exchange of India Limited | ignse@nse.co.in | 1800 266 0058 |
| 2 | BSE Limited | dis@bseindia.com | 022 2272 8517 |
| 3 | Central Depository Services (India) Limited | complaints@cdslindia.com | 1800-22-5533 |

“You can also lodge your grievances with SEBI at <https://scores.sebi.gov.in> For any queries, feedback or assistance, please contact SEBI office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575”

Investor/client may also initiate dispute resolution through the ODR Portal <https://smartodr.in/login>

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| 8 | Rights & Obligations of Stock Brokers, Sub-Broker & Clients | Document stating the Rights & Obligations of stock broker / trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology-based trading). | |
| 9 | Risk Disclosure Document (RDD) | Document detailing risks associated with dealing in the securities market. | |
| 10 | Guidance note | Document detailing do's and don'ts for trading on the exchange, for the education of the investors. | |
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**IN CASE OF NON-INDIVIDUALS, ADDITIONAL DOCUMENTS TO BE OBTAINED FROM
NON-INDIVIDUALS, OVER & ABOVE THE POI & POA, AS MENTIONED BELOW:**

| Type of Entity | Documentary Requirement |
|---|--|
| Corporate | <ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year)*. • UBO to be taken for where more than 10% of shares are held. • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market and naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures • Authorised signatories list with specimen signatures |
| Partnership Firm | <ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • UBO to be taken for where more than 15% of shares are held. • Declaration naming the persons authorized to deal in securities on behalf of the firm and the list of Authorized Signatories with specimen signatures. • Photograph, POI, POA, PAN of Partners. |
| Trust | <ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). • Copy of Trust deed. • UBO to be taken for where more than 10% of shares are held. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees. • Declaration naming the persons authorized to deal in securities on behalf of the trust and the list of Authorized Signatories with specimen signatures. |
| HUF | <ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta. |
| Unincorporated association or a body of individuals | <ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • UBO to be taken for where more than 15% of shares are held. • Declaration naming the persons authorized to deal in securities on behalf of the firm and the list of Authorized Signatories with specimen signatures. |
| Banks / Institutional Investors | <ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Declaration naming the persons authorized to deal in securities on behalf of the Bank / Institution and the list of Authorized Signatories with specimen signatures. |
| FII | <ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Resolution / Declaration naming the persons authorized to deal in securities on behalf of the FII and the list of Authorized Signatories with specimen signatures. |
| Army / Government Bodies | <ul style="list-style-type: none"> • Self-certification on letterhead. • Declaration naming the persons authorized to deal in securities and the list of Authorized Signatories with specimen signatures. |
| Registered Society | <ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary |

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

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

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

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

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

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary public / Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII / sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and / or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.
9. POA for Resident Individual Constituent opting for only Equity Segment under Saral KYC Form would be obtained vide SEBI CIR/MIRSD/1/2015 dated March 04, 2015.

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 originals PAN card and provide duly certified copies of such verified PAN details to the intermediary

E. List of people authorized to attest the documents:

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

INSTRUCTIONS/ CHECK LIST FOR ACCOUNT OPENING FORM - TRADING ACCOUNT

1. Additional documents in case of trading in derivatives segments - illustrative list:

| | |
|--|--|
| Copy of ITR Acknowledgement | Copy of Annual Accounts |
| In case of salary income - Salary Slip, Copy of Form 16 | Net worth certificate |
| Copy of demat account holding statement. | Bank account statement for last 6 months |
| Any other relevant documents substantiating ownership of assets. | Self declaration with relevant supporting documents. |

**In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time*

2. Copy of cancelled cheque leaf/ pass book/ bank statement specifying name of the constituent, MICR Code or/and IFSC

Code of the bank should be submitted.

3. Demat master or recent holding statement issued by DP bearing name of the client.

4. For Non-individuals:

a. Form need to be initialized by all the authorized signatories.

b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company / firm / others and their specimen signatures.

Notes

1. In case of Additional Signature, Separate annexures should be attached to the application Form.

2. All Communication shall be sent at the corresponding address/Mobile/Email Id of sole holder/First holder only.

3. Thumb Impression 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.

4. For receiving statement of account in electronic Form:

i. Client Must insure the confidentiality of the password of the email account.

ii. Client must promptly inform the participant if the email address has changed.

5. Strike of Whichever is not applicable.

ADDITIONAL INSTRUCTIONS

1. Trading A/c cannot be opened in joint names.

2. All corrections on the form should be countersigned with full signature. White ink is not allowed in the form

Please note that the mode of payment should be only by way of NEFT/RTGS/Account Payee Crossed Cheques/Demand draft in favour of "Elara Securities (India) Private Limited". No cash receipts payments will be entertained for any transactions made by the client. Elara will not be responsible for any kind of claims raised by the clients regarding payment made in cash. Mobile number is compulsory for opening of Demat / Trading account

OTHER INFORMATION ABOUT ELARA

LIST OF DESIGNATED BANKS

1. HDFC BANK 2. ICICI BANK

FOR OFFICE PURPOSE ONLY

1. CLIENT RISK CATEGORISATION UNDER PMLA: ☐ LOW RISK ☐ MEDIUM RISK ☐ HIGH RISK

2. SUBMISSION CHECKLIST

1. Complete Documentation Received ☐ Yes ☐ No If No, give details _____

2. "Verified with Original" stamp affixed on proofs ☐ Yes ☐ No

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

3. "PAN verified" stamp with Employee name & signature affixed on proof ☐ Yes ☐ No

3. KRA REGISTRATION DETAILS (FOR OFFICE PURPOSE ONLY)

If Client is already registered with KRA/CKYC please fill in below details:

☐ NDML ☐ CKYC ☐ CVL ☐ DOTEX ☐ Others (Please Specify) _____

(Please furnish photocopy of KRA Registration letter)

KRA Registration No.: _____ CKYC Registration No.: _____

Date of Registration:

Note: If any change in the current/existing KYC record, Broking / DP will carry out fresh CKYC and KRA

**Important Instructions:**

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

For office use only

Application Type*

☐ New ☐ Update

(To be filled by financial institution) KYC Number

(Mandatory for KYC update request)

1. ENTITY DETAILS* (Please refer instruction **A** at the end)
☐ Name*

Entity Constitution Type*

☐ Others (Specify)
(Please refer instruction **B** at the end)

Date of Incorporation / Formation*

Date of Commencement of Business

Place of Incorporation / Formation*

Country of Incorporation / Formation*

TIN or Equivalent Issuing Country

PAN *

☐ Form 60 furnished

TIN / GST Registration Number

2. PROOF OF IDENTITY (PoI)* (Please refer instruction **B** at the end)
☐ Officially valid document(s) in respect of person authorised to transact

☐ Certificate of Incorporation / Formation

☐ Registration Certificate

Regn Certificate No.

☐ Memorandum and Articles of Association

☐ Partnership Deed

☐ Trust Deed

☐ Resolution of Board / Managing Committee

☐ Power of attorney granted to its manager, officers or employees to transact on its behalf

☐ Activity Proof - 1 (For Sole Proprietorship Only)

☐ Activity Proof - 2 (For Sole Proprietorship Only)
3. ADDRESS* (Please see instruction **C** at the end)**3.1 Registered Office Address / Place of Business***

Proof of Address*

☐ Certificate of Incorporation / Formation

☐ Registration Certificate

☐ Other Document

Line 1*

Line 2

Line 3

District*

PIN / Post Code*

State / U.T Code*

ISO 3166 Country Code*

3.2 Local Address in India (If different from Above)*

Line 1*

Line 2

Line 3

District*

PIN / Post Code*

State / U.T Code*

ISO 3166 Country Code*

4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided" may be used) (Please refer instruction **D** at the end)

Tel. (Off)

FAX

Mobile

Email ID

Mobile

Email ID

5. NUMBER OF RELATED PERSONS

(Please refer instruction **E** at the end)

7. APPLICANT DECLARATION (Please refer Instruction **G** at the end)

- Signature/Thumb Impression of Authorised Person(s)

Date:

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
|---|---|---|---|---|---|---|---|---|---|

 -

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
|---|---|---|---|---|---|---|---|---|---|

 - 1

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
|---|---|---|---|---|---|---|---|---|---|

8 ATTESTATION/ FOR OFFICE USE ONLY

Documents Received D Certified Copies D Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

| Identity Verification | D | Done | Date |
|-----------------------|---|------|------|
| Emp. Name | | | |
| Emp. Code | | | |
| Emp. Designation | | | |
| Emp. Branch | | | |

INSTITUTION DETAILS

[illegible]

A Clarification / Guidelines for filing Entity Details section

1 Entity Constitution Type

A - Sole Proprietorship
 B - Partnership Firm
 C - HUF
 D - Private Limited Company
 E - Public Limited Company
 F - Society
 G - Association of Persons (AOP) / Body of Individuals (BOI)

H - Trust
 I - Liquidator
 J - Limited Liability Partnership
 K - Artificial Liability Partnership
 L - Public Sector Banks
 M - Central/State Government Department or Agency
 N - Section 8 Companies (Companies Act, 2013)

O - Artificial Jurisdical Person
 P - International Organisation or Agency /Foreign
 Embassy or Consular Office etc.
 Q - Not Categorized
 R - Others
 S - Foreign Portfolio Investors

2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available.

B Clarification / Guidelines for filling 'Proof of Identity[Pol]' section

- 1 Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
- 2 Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- 3 Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
- 4 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 5 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 6 KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C Clarification / Guidelines for filling 'Proof of Address [PoA]' section

- 1 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 2 Certified copy of document or equivalent e-document to be submitted.

D Clarification / Guidelines for filling 'Contact Details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

E Clarification / Guidelines for filling 'Related Person Details' section

1 Personal Details

- The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.

2 Proof of Address [PoA]

- PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
- REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.

3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.

4 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

F Provision for capturing signature of multiple authorised persons is to be made by the RE.

List of two digit state / U.T codes as per Indian Motor Vehicle Act, 1988

| State/U.T | Code | State / U.T | Code | State / U.T | Code |
|------------------------|------|------------------|------|---------------|------|
| Andaman & Nicobar | AN | Himachal Pradesh | HP | Pondicherry | PY |
| Andhra Pradesh | AP | Jammu & Kashmir | JK | Punjab | PB |
| Arunachal Pradesh | AR | Jharkhand | JH | Rajasthan | RJ |
| Assam | AS | Karnataka | KA | Sikkim | SK |
| Bihar | BR | Kerala | KL | Tamil Nadu | TN |
| Chandigarh | CH | Lakshadweep | LD | Telangana | TS |
| Chhattisgarh | CG | Madhya Pradesh | MP | Tripura | TR |
| Dadra and Nagar Haveli | DN | Maharashtra | MH | Uttar Pradesh | UP |
| Daman & Diu | DD | Manipur | MN | Uttarakhand | UA |
| Delhi | DL | Meghalaya | ML | West Bengal | WB |
| Goa | GA | Mizoram | MZ | Other | XX |
| Gujarat | GJ | Nagaland | NL | | |
| Haryana | HR | Orissa | OR | | |

List of ISO 3166 two digit Country Code

| Country | Country Code | Country | Country Code | Country | Country Code | Country | Country Code |
|---------------------------------------|--------------|--|--------------|--|--------------|--|--------------|
| Afghanistan | AF | Dominican Republic | DO | Libya | LY | Saint Pierre and Miquelon | PM |
| Aland Islands | AX | Ecuador | EC | Liechtenstein | LI | Saint Vincent and the Grenadines | VC |
| Albania | AL | Egypt | EG | Lithuania | LT | Samoa | WS |
| Algeria | DZ | El Salvador | SV | Luxembourg | LU | San Marino | SM |
| American Samoa | AS | Equatorial Guinea | GO | Macao | MO | Sao Tome and Principe | ST |
| Andorra | AD | Eritrea | ER | Macedonia, the former Yugoslav Republic of | MK | Saudi Arabia | SA |
| Angola | AO | Estonia | EE | Madagascar | MG | Senegal | SN |
| Anguilla | AI | Ethiopia | ET | Malawi | MW | Serbia | RS |
| Antarctica | AQ | Falkland Islands (Malvinas) | FK | Malaysia | MY | Seychelles | SC |
| Antigua and Barbuda | AG | Faroe Islands | FO | Maldives | MV | Sierra Leone | SL |
| Argentina | AR | Fiji | FJ | Mali | ML | Singapore | SG |
| Armenia | AM | Finland | FI | Malta | MT | Sint Maarten (Dutch part) | SX |
| Aruba | AW | France | FR | Marshall Island | MH | Slovakia | SK |
| Australia | AU | French Guiana | GF | Martinique | MQ | Slovenia | SI |
| Austria | AT | French Polynesia | PF | Mauritania | MR | Solomon Island | SB |
| Azerbaijan | AZ | French Southern Territories | TF | Mauritius | MU | Somalia | SO |
| Bahamas | BS | Gabon | GA | Moyotte | YT | South Africa | ZA |
| Bahrain | BH | Gambia | GM | Mexico | MX | South Georgia and the South Sandwich Islands | GS |
| Bangladesh | BD | Georgia | GE | Micronesia, Federated States of | FM | South Sudan | SS |
| Barbados | BB | Germany | DE | Moldova, Republic of | MD | Spain | ES |
| Belarus | BY | Ghana | GH | Monaco | MC | Sri Lanka | LK |
| Belgium | BE | Gibraltar | GI | Mongolia | MN | Sudan | SD |
| Belize | BZ | Greece | GR | Montenegro | ME | Suriname | SR |
| Benin | BJ | Greenland | GL | Montserrat | MS | Svalbard and Jan Mayen | SI |
| Bermuda | BM | Grenada | GD | Morocco | MA | Swaziland | SZ |
| Bhutan | BT | Guadeloupe | GP | Mozambique | MZ | Sweden | SE |
| Bolivia, Plurinational State of | BO | Guam | GU | Myanmar | MM | Switzerland | CH |
| Bonaire, Sint Eustatius and Saba | BQ | Guatemala | GT | Namibia | NA | Syrian Arab Republic | SY |
| Bosnia and Herzegovina | BA | Guernsey | GG | Nauru | NZ | Taiwan province of china | TW |
| Botswana | BW | Guinea | GN | Nepal | NP | Tajikistan | TJ |
| Bouvet Island | BV | Guinea-Bissau | GW | Netherlands | NL | Tanzania, United Republic of | TZ |
| Brazil | BR | Guyana | GY | New Caledonia | NC | Thailand | TH |
| British Indian Ocean Territory | IO | Haiti | HT | New Zealand | NZ | Timor-Leste | TL |
| Brunei Darussalam | BN | Heard Island and McDonald Islands | HM | Nicaragua | NI | Togo | TG |
| Bulgaria | BG | Holy See (Vatican City State) | VA | Niger | NE | Tokelau | TK |
| Burkina Faso | BF | Honduras | HN | Nigeria | NG | Tonga | TO |
| Burundi | BI | Hongkong | HK | Niue | NU | Trinidad and Tobago | TT |
| Cabo Verde | CV | Hungary | HU | Norfolk Island | NF | Tunisia | TN |
| Cambodia | KH | Iceland | IS | Northern Mariana Islands | MP | Turkey | TR |
| Cameroon | CM | India | IN | Norway | NO | Turkmenistan | TM |
| Canada | CA | Indonesia | ID | Oman | OM | Turks and Caicos Islands | TC |
| Cayman Islands | KY | Iran, Islamic Republic of | IR | Pakistan | PK | Tuvalu | TV |
| Central African Republic | CF | Iraq | IQ | Palau | PW | Uganda | UG |
| Chad | TD | Ireland | IE | Palestine, State of | PS | Ukraine | UA |
| Chile | CL | Isle of Man | IM | Panama | PA | United Arab Emirates | AE |
| China | CN | Israel | IL | Papua New Guinea | PG | United Kingdom | GB |
| Christmas Island | CX | Italy | IT | Paraguay | PY | United States | US |
| Cocos (Keeling) Islands | CC | Jamaica | JM | Peru | PE | United States Minor Outlying Islands | UM |
| Colombia | CO | Japan | JP | Philippines | PH | Uruguay | UY |
| Comoros | KM | Jersey | JE | Pitcairn | PN | Uzbekistan | UZ |
| Congo | CG | Jordan | JO | Poland | PL | Vanuatu | VU |
| Congo, the Democratic Republic of the | CD | Kazakhstan | KZ | Portugal | PT | Venezuela, Bolivarian Republic of | VE |
| Cook Islands | CK | Kenya | KE | Puerto Rico | PR | Viet Nam | VN |
| Costa Rica | CR | Kiribati | KI | Qatar | QA | Virgin Islands, British | VG |
| Cote d'Ivoire ICote d'Ivoire | CI | Korea, Democratic People's Republic of | KP | Reunion IReunion | RE | Virgin Island, U.S. | VI |
| Croatia | HR | Korea, Republic of | KR | Romania | RO | Wallis and Futuna | WF |
| Cuba | CU | Kuwait | KW | Russian Federation | RU | Western Sahara | EH |
| Curacao ICuracao | CW | Kyrgyzstan | KG | Rwanda | RW | Yemen | YE |
| Cyprus | CY | Lao People's Democratic Republic | LA | Saint Barthelemy ISaint BartheJemy | BL | Zambia | ZM |
| Czech Republic | CZ | Latvia | LV | Saint Helena, Ascension and Tristan da Cunha | SH | Zimbabwe | ZW |
| Denmark | DK | Lebanon | LB | Saint Kittsand Nevis | KN | | |
| Djibouti | DJ | Lesotho | LS | Saint Lucia | LC | | |
| Dominica | DM | Liberia | LR | Saint Martin (French Part) | MF | | |

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

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



For office use only Application Type* ☐ New ☐ Update ☐ Delete
 (To be filled by financial institution) KYC Number (Mandatory for KYC update and delete request)

1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

- ☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*) If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor
☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director Identification Number) (Mandatory if Related Person Type is Director)

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

| | Prefix | First Name | Middle Name | Last Name |
|--------------------------|-------------------------------------|---|--|----------------------|
| Name* (Same as ID proof) | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Maiden Name | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Father / Spouse Name | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Mother Name | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Date of Birth* | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Gender* | <input type="checkbox"/> M- Male | <input type="checkbox"/> F- Female | <input type="checkbox"/> T-Transgender | |
| Nationality* | <input type="checkbox"/> IN- Indian | <input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>) | | |
| PAN* | <input type="text"/> | <input type="text"/> | <input type="checkbox"/> Form 60 furnished | |

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D-NREGA Job Card
☐ E- National Population Register Letter
☐ F - Proof of Possession of Aadhaar
 II ☐ E-KYC Authentication
 III ☐ Offline verification of Aadhaar

☐ PHOTO*



Address

| | |
|------------------------|----------------------|
| Line 1* | <input type="text"/> |
| Line 2 | <input type="text"/> |
| Line 3 | <input type="text"/> |
| District* | <input type="text"/> |
| Pin / Post Code* | <input type="text"/> |
| City / Town / Village* | <input type="text"/> |
| State / U.T Code* | <input type="text"/> |
| ISO 3166 Country Code* | <input type="text"/> |

1.3. CURRENT ADDRESS DETAILS (Please refer instruction E and the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D-NREGA Job Card
☐ E- National Population Register Letter
☐ F - Proof of Possession of Aadhaar
 II ☐ E-KYC Authentication
 II ☐ Offline verification of Aadhaar

IV ☐ Deemed PoA

V ☐ Self Declaration

Address

Line 1*

Line 2

Line 3

District*

City / Town / Village*

Pin / Post Code*

State / U.T Code*

ISO 3166 Country Code*

1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction D at the end)

Tel. (Off)

Tel. (Res)

Mobile

Email ID

2. APPLICANT DECLARATION

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

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

Date : DD - MM - YYYY

Place:

Signature /Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

☐ Certified Copies

☐ Digital KYC process

☐ E-KYC data received from UIDAI

☐ Equivalent e-document

☐ Data received from Offline verification

KYC VERIFICATION CARRIED OUT BY

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

Employee Signature

INSTITUTION DETAILS

Name

Code

Institution Stamp

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

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

**CDSL VENTURES LIMITED**

....Exploring New Horizons



Application Number: _____

Application Type*: ☐ New KYC ☐ Modification KYC**1. Entity Details** (please refer guidelines)

PAN* _____

Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Date of Incorporation* _____

Place of Incorporation* _____

Date of Commencement* _____

Registration Number* _____

Entity Type*

☐ Private Ltd. Co.☐ Public Ltd. Co.☐ Body Corporate☐ Partnership

Please Tick (✓)

☐ Trust/Charity/NGO☐ HUF☐ FPI Category I☐ FPI Category II☐ AOP☐ Bank☐ Government Body☐ Defence Establishment☐ Body of Individuals☐ Society☐ LLP☐ Non-Government Organization☐ Others _____**2. Proof of Identity*** (please refer the guidelines)☐ Officially Valid Document(s) in respect of person authorized to transact☐ Certificate of Incorporation/Formation _____☐ Registration Certificate _____☐ Memorandum of Articles and Association☐ Partnership Deed☐ Trust Deed☐ Board Resolution☐ Power of attorney granted to its manager, office, employees to transact on its behalf☐ Activity Proof -1* (For Sole Proprietorship Only)☐ Activity Proof -2* (For Sole Proprietorship Only)**3. Address Details*** (please refer the guidelines)**A. Registered Address***

Line 1* _____

Line 2 _____

Line3 _____

City/Town/Village* _____

District* _____

Pin Code* _____

State* _____

Country* _____

B. Correspondence/Local Address in India (if different from above)*

Line 1* _____

Line 2 _____

Line3 _____

City/Town/Village* _____

District* _____

Pin Code* _____

State* _____

Country* _____

Applicant Wet Signature

Proof of Address* (attested copy of any one POA to be submitted — *Not more than 3 months old)

| | | |
|---|---|---|
| <input type="checkbox"/> Certificate of Incorporation/Formation | <input type="checkbox"/> Registration Certificate | <input type="checkbox"/> Other document _____ |
| <input type="checkbox"/> Latest Telephone Bill* (Landline only) | <input type="checkbox"/> Latest Electricity Bill* | <input type="checkbox"/> Latest Bank Account Statement* |
| <input type="checkbox"/> Registered Lease/ Sale Agreement of Office Premises | Validity/Expiry Date of POA (Expiry Date) ____ | |
| <input type="checkbox"/> Any other proof of address document (as listed overleaf) _____ | | |

4. Contact Details

| | |
|-----------------|------------------|
| Email ID _____ | Mobile No. _____ |
| Email ID _____ | Mobile No. _____ |
| Tel (off) _____ | Fax _____ |

5. Annexures SubmittedNumber of Related Persons - **6. Remarks / Additional Information****7. Applicant Declaration**

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

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

DATE: ____ (DD-MM-YYYY)

PLACE: _____

Applicant Digital Signature (DSC)

Applicant Wet Signature

8. For Office Use Only

| KYC carried out by* | Intermediary Details* |
|------------------------------|---|
| KYC Date ____ | <input type="checkbox"/> Self certified document copies received (Originals Verified) |
| Emp. Name _____ | <input type="checkbox"/> True Copies of documents received (Attested) |
| Emp. Code _____ | AMC / Intermediary Name OR Code: |
| Emp. Designation _____ | |
| Employee Signature and Stamp | Employee Signature and Stamp |

— This space is intentionally left blank — This space is intentionally left blank — This space is intentionally left blank — This space is intentionally left blank —

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- 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.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- 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.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor or photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- 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:

- PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
- Unique Identification Number (UID) (Aadhaar)/Passport/Noter ID card/Driving license.
- 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, 1/51, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

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

- Passport/Noters Identity Card/Ration Card/Registered Lease or Sale Agreement of

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

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook- Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- 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.
- 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.
- 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.
- 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.)

- 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.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50,000/- p.a.
- In case of institutional clients, namely, FIs, Mis, VCFs, FVCs, 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:

- 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).
- In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

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

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

Download Consent Form – Non-Individual

Dear Sir/Madam,

I, _____ S/o / D/o / W/o
_____, give consent to download KYC Records of
_____ Entity Name _____ from the Central KYC Registry
(CKYCR), only for the purpose of verification of my identity and address from the database of
CKYCR Registry.

I understand that my KYC Record includes my KYC Records /Personal information such as my
name, address, date of birth, PAN number etc.

Authorised Signatory: [customer signature]

Date: [date]

DETAILS OF PROMOTERS/PATNERS/KARTA/TRUSTEES/WHOLE TIME DIRECTOR AND AUTHORIZED SIGNATORY
FORMING A PART OF KNOW YOUR CLIENT (KYC) KYC APPLICATION FROM FOR NON-INDIVIDUAL



Name of Applicant _____ PAN of the Applicant _____

| Sr. No. | Name | Relationship with applicant (i.e. Promoters, Beneficiary/ Whole time Directors, etc.) | PAN | Resi./Regd. Address | DIN (For Directors)/ Aadhaar No* (For Others) | Whether Politically Exposed | Photograph |
|---------|------|---|-----|---------------------|---|--|-----------------------------------|
| 1. | | | | | DIN (For Directors) UID (For Others) | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> N.A. | Please sign across the Photograph |
| 2. | | | | | DIN (For Directors) UID (For Others) | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> N.A. | Please sign across the Photograph |
| 3. | | | | | DIN (For Directors) UID (For Others) | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> N.A. | Please sign across the Photograph |
| 4. | | | | | DIN (For Directors) UID (For Others) | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> N.A. | Please sign across the Photograph |
| 5. | | | | | DIN (For Directors) UID (For Others) | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> N.A. | Please sign across the Photograph |

Name & Signature of the Authorised Signatory(ies) _____

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

*I/We hereby provide my /our consent in accordance with Aadhaar Act, 2016 and regulations made there under, for (i) collecting, storing and usage (ii) validating/ authenticating and (iii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA.

PART II - ACCOUNT OPENING FORM - MANDATORY

Elara Securities (India) Pvt. Ltd.,

One International Centre, Tower 3, 21st Floor, Senapati Bapat Marg, Elphinstone Road (West), Mumbai – 400 013, India

Tel : +91 22 6164 8599, Fax : +91 22 6164 8569

A. ADDITIONAL INFORMATION FOR TRADING ACCOUNT (Please fill this form in ENGLISH and in BLOCK LETTERS)

1. TRADING PREFERENCE

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

| | | |
|--------------|------------------|-------------------|
| Exchanges | NSE & BSE | |
| All Segments | Cash/Mutual Fund | Futures & Options |
| | | |

If you do not wish to trade in any of segments / Mutual Fund, please mention here _____.

If in future, you want to trade on any new segment/ new exchange, separate authorisation/ letter should be submitted to Elara.

2. PROOF OF FINANCIAL DETAILS (MANDATORY IN CASE OF DERIVATIVES)

- ☐ Copy of ITR acknowledgement
 ☐ Copy of annual accounts
 ☐ Copy of Form 16
 ☐ Networth certificate
 ☐ Salary slip
☐ Bank account statement for last 6 months
☐ Copy of demat account holding statement
☐ Any other relevant documents substantiating ownership of assets
☐ Self declaration with relevant supporting documents

| | |
|---|---|
| Gross Annual Income Details: (Please specify) | a) Income Range per Annum: <input type="checkbox"/> Below Rs.1,00,000 <input type="checkbox"/> Rs.1,00,001 to Rs.5,00,000 <input type="checkbox"/> Rs.5,00,001 to Rs.10,00,000 <input type="checkbox"/> Rs.10,00,001 to Rs.25,00,000 <input type="checkbox"/> More than Rs.25,00,001 OR b) Net worth Rs. _____ as on d d m m y y y y (Net worth should not be older than one year) |
| Occupation | <input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____ |
| Source of Wealth | <input type="checkbox"/> Business Income <input type="checkbox"/> Gift <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Rental Income <input type="checkbox"/> Others (Specify) _____ |
| Nature of Business | <input type="checkbox"/> Agriculture <input type="checkbox"/> Gems & Jewellery <input type="checkbox"/> Money Lending <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Real Estate <input type="checkbox"/> Export-Import <input type="checkbox"/> Manufacturing <input type="checkbox"/> Service Industry <input type="checkbox"/> Trading Firm <input type="checkbox"/> Casino Owner <input type="checkbox"/> Arms Manufacturer <input type="checkbox"/> Pawn Broker <input type="checkbox"/> Others (Specify) _____ |

3. DEPOSITORY ACCOUNT DETAILS (Applicable in case of Non – Elara Demat Account)

| | |
|-----------------------------|---|
| Depository Participant Name | |
| Depository Address | |
| DP ID | |
| Client ID | |
| Beneficiary Name | |
| Proof of DP Submitted | <input type="checkbox"/> DP Statement <input type="checkbox"/> Client Master Report (CMR) |

- 1) Client's name & DP A/c No. on the proof of DP submitted should match with that mentioned in the account opening form.
 2) DP statement should clearly show DP ID & Client ID.

4. CONSENT FOR RECEIVING SMS / EMAIL ALERTS FROM CONCERNED STOCK EXCHANGES / DEPOSITORIES

I/We wish to avail the SMS / Email alert facility offered by respective Exchanges showing details of my daily transaction executed through Elara Securities (India) Private Limited on my Email ID / Mobile no. provided in KYC form

☐ SMS ☐ Email ☐ Both

(The above facility is provided by Exchanges / Depositories will be activated once the details are verified by Exchanges / Depositories confirmed by you)

5. DEALINGS THROUGH SUB-BROKERS/AUTHORIZED PERSON AND OTHER STOCK BROKERS

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

Sub-broker's Name: SEBI Registration number: Registered office address:

Ph: Fax: Website:

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

Name of stock broker:

Name of Sub-Broker/ Authorised Person, If any:

Client Code: Exchange: Details of disputes/dues pending from/to such Stock broker/Sub-broker/Authorised Person:

6. Additional Details**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:

(Please write 'None' if no action is taken)

| Particulars | Name of Authority | Month & Year of Action |
|---------------------------------------|---|------------------------|
| | | |
| | | |
| Please tick, If applicable | If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either <input type="checkbox"/> Politically Exposed Person (PEP) or <input type="checkbox"/> Related to Politically Exposed Person (RPEP). | |
| Whether you wish to receive | <input type="checkbox"/> Physical contract note <input type="checkbox"/> Electronic Contract Note (ECN) | |
| Specify your Email id, if applicable: | | |
| Any other information: | | |

7. INVESTMENT / TRADING EXPERIENCE

Prior Experience ☐ No ☐ Yes

If Yes

| PRODUCT TYPE | NO. OF YEARS EXPERIENCE | PRODUCT TYPE | NO. OF YEARS EXPERIENCE |
|--------------|-------------------------|-------------------|-------------------------|
| Equities | | Mutual Funds | |
| Derivatives | | Other Instruments | |

8. GST Details

| | |
|-----------------------------|--|
| GST Number | |
| GST Implementation Location | |

9. INFORMATION PROVIDED BY THE CLIENT IN RELATION TO THE PREVENTION OF MONEY LAUNDERING ACT, 2002


| | |
|--------------|---|
| Funds Detail | Do you intend to invest in the Stock Market with : <input type="checkbox"/> Own Funds <input type="checkbox"/> Borrowed Funds |
| | In case of borrowed funds, please specify the sources of funds:- _____ |

B. COMMON DETAILS FOR BOTH TRADING & DEMAT ACCOUNT

1. BANK ACCOUNT DETAILS (FOR TRADING AND DEMAT ACCOUNT)

| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|----------------|--|--|--|--|--|--|--|--|--|--|----------|--|--|--|--|-----------|------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Bank Name | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Branch Address | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| City | | | | | | | | | | | | | | | | Country | | | | | | | | | | | | | | | |
| State | | | | | | | | | | | PIN Code | | | | | | Tel. | | | | | | | | | | | | | | |
| Bank A/c No. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| A/c Type: | <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others - in case of NRI/ NRE/ NRO (specify) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| IFSC Code | | | | | | | | | | | | | | | | MICR Code | | | | | | | | | | | | | | | |

2. INTRODUCER'S DETAILS

| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|-----------------------------|--|--|--|--|--|--|--|--|--|--|-----------|--|--|--|--|---------|------|--|--|--|-----|--------------|--|--|--|---|--|--|--|--|--|--|
| Status Of Introducer | <input type="checkbox"/> Sub-Broker <input type="checkbox"/> Authorised Person <input type="checkbox"/> Remisier <input type="checkbox"/> Existing Account Holder <input type="checkbox"/> Bank Official | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | <input type="checkbox"/> Elara Employee <input type="checkbox"/> Any Other Person | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Introducer's Name: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Address | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| City | | | | | | | | | | | | | | | | Country | | | | | | | | | | | | | | | | |
| State | | | | | | | | | | | PIN Code | | | | | | Tel. | | | | | | | | | | | | | | | |
| Occupation | | | | | | | | | | | | | | | | | | | | | PAN | | | | | | | | | | | |
| DP ID | | | | | | | | | | | Client ID | | | | | | | | | | | Trading Code | | | | | | | | | | |
| Designation | | | | | | | | | | | | | | | | | | | | | PAN | | | | | | | | | | | |
| Bank & Branch Name | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Employee Code: | | | | | | | | | | | Email Id | | | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | | |  | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Signature of the Introducer | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT - For Non-individuals

Elara Securities (India) Private Limited
One International Centre, Tower 3,
21st Floor, Senapati Bapat Marg, Elphinstone Road West,
Mumbai-400 013

(To be filled by the Depository Participant)

| | | | | | | | | | | |
|---------------------------|---|------|---|---|---|---|---|---|-----------|---|
| Application No. | | Date | D | D | M | M | Y | Y | Y | Y |
| DP Internal Reference No. | | | | | | | | | | |
| DP ID | 1 | 2 | 0 | 8 | 5 | 9 | 0 | 0 | Client ID | |

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

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

Holders Details

| | | | | | | | | | | | | | | | | |
|----------------------------|--|-------------|--|--------------------|--|--|--|--|--|--|--|--|--|--|--|--|
| Sole / First Holder's Name | | Search Name | | PAN | | | | | | | | | | | | |
| | | | | UCC | | | | | | | | | | | | |
| | | | | Exchange Name & ID | | | | | | | | | | | | |
| Second Holder's Name | | | | PAN | | | | | | | | | | | | |
| | | | | UID | | | | | | | | | | | | |
| Third Holder's Name | | | | PAN | | | | | | | | | | | | |
| | | | | UID | | | | | | | | | | | | |

***Exchange ID**

| | |
|-------|--|
| Name* | |
|-------|--|

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

Type of Account (Please tick whichever is applicable)

| | | | | | | | | | | | |
|--|---|------------------------|--|-------------------------------|---|---|---|---|---|---|---|
| Status | | | | Sub – Status | | | | | | | |
| <input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other(Specify) _____ | | | | To be filled by the DP | | | | | | | |
| SEBI Registration No. (If Applicable) | | SEBI Registration date | | D | D | M | M | Y | Y | Y | Y |
| RBI Registration No. (If Applicable) | | RBI Approval date | | | | | | | | | |
| Nationality | <input type="checkbox"/> Indian <input type="checkbox"/> Other(Specify) _____ | | | | | | | | | | |

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] <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No') | <input type="checkbox"/> Yes <input type="checkbox"/> No |

| | |
|---|---|
| Account Statement Requirement | <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly |
| I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____ | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I / We would like to share the email ID with the RTA | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I / We would like to receive the Annual Report: - <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical) | |

Clearing Member Details (To be filled by CMs only)

| | | | |
|------------------------|--|-------------------|--|
| Name of Stock Exchange | | | |
| Name of CC / CH | | | |
| Clearing Member Id | | Trading member ID | |

| | |
|--|--|
| I / We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time] | <input type="checkbox"/> Yes <input type="checkbox"/> No |
|--|--|

Bank Details [Dividend Bank Details]

| | | | | | | | | | |
|----------------------------------|--|-------|--|---------|--|----------|--|--|--|
| Bank Code (9 digit MICR code) | | | | | | | | | |
| IFS Code (11 character) | | | | | | | | | |
| Account number | | | | | | | | | |
| Account type | <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____ | | | | | | | | |
| Bank Name | | | | | | | | | |
| Branch Name | | | | | | | | | |
| Bank Branch Address | | | | | | | | | |
| City | | State | | Country | | PIN Code | | | |

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)

(ii) Photocopy of the Bank Statement having name and address of the BO

(iii) Photocopy of the Passbook having name and address of the BO, (or)

(iv) Letter from the Bank.

- In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

Other Details

| | | |
|-----------------------------|---|--|
| Gross Annual Income Details | Income Range per annum: | |
| | <input type="checkbox"/> Up to Rs 1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs.5,00,000 <input type="checkbox"/> Rs.5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> Rs.25,00,000 to Rs. 1,00,00,000 <input type="checkbox"/> More than Rs.1,00,00,000 | |
| | Net-worth as on (date) | Rs _____ <div style="border: 1px solid black; padding: 2px; display: inline-block;"> D D M M Y Y Y Y </div> (Networth should not be older than one year) |

Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP).

Please provide details as per Annexure 2.2 A

☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐ None

| | | | |
|------------------------|--|--|--|
| Any other information: | | | |
| Nature of Business | <input type="checkbox"/> Agriculture <input type="checkbox"/> Gems & Jewellery <input type="checkbox"/> Money Lending <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Real Estate <input type="checkbox"/> Export-Import <input type="checkbox"/> Manufacturing <input type="checkbox"/> Service Industry <input type="checkbox"/> Trading Firm <input type="checkbox"/> Casino Owner <input type="checkbox"/> Arms Manufacturer <input type="checkbox"/> Pawn Broker <input type="checkbox"/> Others (Specify) _____ | | |

| | | |
|---|---|--|
| SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4 | MOBILE NO. +91 _____ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option). | |
| Easi | To register for <i>easi</i> , please visit our website www.cdslindia.com . <i>Easi</i> allows a BO to view his ISIN balances, transactions and value of the portfolio online. | |

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

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

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

(Signatures should be preferably in black ink)

===== (Please Tear Here) =====

Acknowledgement Receipt

Application No.:

Date:

We hereby acknowledge the receipt of the Account Opening Application Form:

| | |
|---------------------------------|--|
| Name of the Sole / First Holder | |
| Name of Second Holder | |
| Name of Third Holder | |

Depository Participant Seal and Signature

===== (Please Tear Here) =====


Annexure - 2.2A

**Details of Politically Exposed Persons (PEP)/ Related to Politically Exposed Person (RPEP).
[For-non-individual]**

Name of holder _____ PAN of the holder _____

| Sr. No | Name of the Authorized signatories / Promoters /Partners / Karta/ Trustees / Whole Time Directors | Relation with the holder (i.e. promoters, whole time directors etc.) | Please tick the relevant option. |
|--------|---|--|---|
| 1 | | | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP |
| 2 | | | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP |
| 3 | | | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP |
| 4 | | | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP |
| 5 | | | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP |

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

_____ 

Name & Signature of the Authorised Signatory (ies)

Date:-

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| d | d | m | m | y | y | y | y |
|---|---|---|---|---|---|---|---|

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT - HINDU UNDIVIDED FAMILY (HUF)

Elara Securities (India) Private Limited
One International Centre, Tower 3,
21st Floor, Senapati Bapat Marg, Elphinstone Road West,
Mumbai-400 013

(To be filled by the Depository Participant)

| | | | | | | | | | | |
|---------------------------|---|------|---|---|---|---|---|---|-----------|---|
| Application No. | | Date | D | D | M | M | Y | Y | Y | Y |
| DP Internal Reference No. | | | | | | | | | | |
| DP ID | 1 | 2 | 0 | 8 | 5 | 9 | 0 | 0 | Client ID | |

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

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

Holders Details

| | | | | | | | | | | | | |
|----------------------------|--------------------|--|--|--|--|--|--|--|--|--|--|--|
| Sole / First Holder's Name | PAN | | | | | | | | | | | |
| | UID | | | | | | | | | | | |
| | UCC | | | | | | | | | | | |
| | Exchange Name & ID | | | | | | | | | | | |
| Second Holder's Name | PAN | | | | | | | | | | | |
| | UID | | | | | | | | | | | |
| Third Holder's Name | PAN | | | | | | | | | | | |
| | UID | | | | | | | | | | | |

| | |
|-------|--|
| Name* | |
|-------|--|

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

Type of Account (Please tick whichever is applicable)

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

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

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

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] <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No') | <input type="checkbox"/> Yes <input type="checkbox"/> No |

| | |
|---|---|
| Account Statement Requirement | <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly |
| I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I / We would like to share the email ID with the RTA | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I / We would like to receive the Annual Report: - <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical) | |
| I/ We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time] | <input type="checkbox"/> Yes <input type="checkbox"/> No |

Bank Details [Dividend Bank Details]

| | | | | | | | | | | |
|-------------------------------|---|-------|--|---------|--|----------|--|--|--|--|
| Bank Code (9 digit MICR code) | | | | | | | | | | |
| IFS Code (11 character) | | | | | | | | | | |
| Account number | | | | | | | | | | |
| Account type | <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify)_____ | | | | | | | | | |
| Bank Name | | | | | | | | | | |
| Branch Name | | | | | | | | | | |
| Bank Branch Address | | | | | | | | | | |
| City | | State | | Country | | PIN Code | | | | |

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)

(ii) Photocopy of the Bank Statement having name and address of the BO

(iii) Photocopy of the Passbook having name and address of the BO, (or)

(iv) Letter from the Bank.

- In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

Other Details

| | | |
|---|---|--|
| Gross Annual Income Details | Income Range per annum: | |
| | <input type="checkbox"/> Up to Rs 1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs.5,00,000 <input type="checkbox"/> Rs.5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> Rs.25,00,000 to Rs. 1,00,00,000 <input type="checkbox"/> More than Rs.1,00,00,000 | |
| | Net-worth as on (date) | Rs _____ <div style="border: 1px solid black; padding: 2px; display: inline-block;"> D D M M Y Y Y Y </div> (Networth should not be older than one year) |
| Please tick, If any | | |
| <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP) <input type="checkbox"/> None | | |
| Occupation | <input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify)_____ | |
| Nature of Business | <input type="checkbox"/> Agriculture <input type="checkbox"/> Gems & Jewellery <input type="checkbox"/> Money Lending <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Real Estate <input type="checkbox"/> Export-Import <input type="checkbox"/> Manufacturing <input type="checkbox"/> Service Industry <input type="checkbox"/> Trading Firm <input type="checkbox"/> Casino Owner <input type="checkbox"/> Arms Manufacturer <input type="checkbox"/> Pawn Broker <input type="checkbox"/> Others (Specify)_____ | |

| SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4 | MOBILE NO. +91 _____ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option). | | | | | | | | | | | |
|--|--|-------------------------------|------------------------|----------------------|-------------------------------|--|--|--|--|--|--|--|
| Transactions Using Secured Texting Facility (TRUST) . Refer to Terms and Conditions Annexure – 2.6 | I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <div style="display: flex; align-items: center;"> <input type="checkbox"/> Yes <input type="checkbox"/> No </div> I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 33%;">Stock Exchange Name/ID</th> <th style="width: 33%;">Clearing Member Name</th> <th style="width: 33%;">Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table> | | Stock Exchange Name/ID | Clearing Member Name | Clearing Member ID (Optional) | | | | | | | |
| Stock Exchange Name/ID | Clearing Member Name | Clearing Member ID (Optional) | | | | | | | | | | |
| | | | | | | | | | | | | |
| | | | | | | | | | | | | |
| Easi | To register for <i>easi</i> , please visit our website www.cdslindia.com . <i>Easi</i> allows a BO to view his ISIN balances, transactions and value of the portfolio online. | | | | | | | | | | | |

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

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

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

(Signatures should be preferably in black ink)

===== (Please Tear Here) =====

Acknowledgement Receipt

Application No.:

Date:

We hereby acknowledge the receipt of the Account Opening Application Form:

| | |
|---------------------------------|--|
| Name of the Sole / First Holder | |
| Name of Second Holder | |
| Name of Third Holder | |

Depository Participant Seal and Signature

===== (Please Tear Here) =====

(This document is Mandatory in case of HUF account executing Power of Attorney / DDPI)

NO OBJECTION CERTIFICATE [HUF DEMAT/ TRADING ACCOUNT]

To,

Elara Securities (India) Private Limited

One International Center, Tower 3, 21st Floor,
Senapati Bapat Marg, Elphinstone Road (West)
Mumbai - 400 013, India

Dear Sir/ Madam,

Sub: Declaration of Coparcener(s)

I/We here by declare that I / we are coparceners of the HUF _____ with _____ as "Karta". I/We have opened Trading and / or Demat account with you under HUF category. I / We here by declare that I / We am / are authorizing the said Karta to execute the transactions and to do all such needful acts / deeds in our Demat / Trading account. I / We further authorize the Karta to appoint any other attorney and authorize him / her / it to act on behalf of the HUF and Coparcener(s) with regard to the operations of the said Demat / Trading account. The details of our account are given below:







BO ACCOUNT DETAILS:

CDSL DP ID: 12085900

Client Code: _____

LIST OF CO-PARCENERS:


BO Id: _____

| Sr. No. | Name | Sex [M/F] | Date of Birth | Relationship with Karta | PAN No. | Signature |
|---------|------|-----------|---------------|-------------------------|---------|---|
| 1. | | | | | |  |
| 2. | | | | | |  |
| 3. | | | | | |  |
| 4. | | | | | |  |
| 5. | | | | | |  |
| 6. | | | | | |  |

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

Name of the Karta _____

Signature & Stamp of Karta alongwith stamp of HUF:








Place : _____

Date : _____

CLIENT DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.
4. I request you to provide the following documents in Soft Copy ☐ or Hard Copy ☐.
 - Rights and Obligations of Stock Rights and Obligations of Stock Brokers, Sub-Brokers and Clients as prescribed by SEBI and Stock Exchanges
 - Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories
- Risk disclosure Document for Capital and Derivatives Segment
- Guidance Note-Do's and Don'ts for Trading on the Exchange (s) for Investors
- Policies and Procedures applicable to clients.
5. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.
6. I/We further understand that any change in the said documents including the "Policies and Procedures" shall be made available on the website of Elara and also intimated to me through circulars in internet trading platform/e-mails. I/We shall keep myself updated of the same.
7. 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 account. I/We hereby declare that the details furnished 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/we am/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 regulation.

Name and Signature of Authorised Signatory(ies) [Enclose a Board Resolution for Authorised Signatories]

| Sr. No. | AUTHORISED SIGNATORY NAME | SIGNATURE |
|---------|---------------------------|---|
| 1. | |  |
| 2. | |  |
| 3. | |  |
| 4. | |  |
| 5. | |  |

Date

MODE OF OPERATION (In case of joint holdings, all the holders/ Authorised Signatories must sign)

| | |
|---|--|
| <input type="checkbox"/> ANY ONE SINGLY | <input type="checkbox"/> AS PER RESOLUTION |
| <input type="checkbox"/> JOINTLY BY | <input type="checkbox"/> OTHERS (PLEASE SPECIFY) |

Tariff Sheet – Trading

SCHEDULE OF TRADING ACCOUNT CHARGES

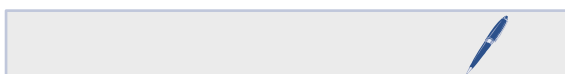
| |
|---|
| Rs. 1000/- for Individual Account Service Charge |
| Rs. 1500/- for Corporate Account Service Charge |
| Rs. 2500/- for Non-Resident Indians (NRIs) Account Service Charge |

SCHEDULE OF BROKERAGE CHARGES

| Broking Services | | | | |
|---|---|---|--|-----------------------------|
| Brokerage (Cash) | Standard Rate for Individual and Corporate | Standard Rate for NRI | Quoted Rate for Individual and Corporate | Quoted Rate for NRI Clients |
| Intra-Day | 0.05% | 0.25% | | |
| Delivery:(Normal) settlement Exchange Trade for Trade and Z group scrip | 0.50% | 1.50% | | |
| Brokerage (Futures) | 0.05% | 0.10% | | |
| Brokerage (Options) Minimum | 1% of Premium or Rs.100/- per lot whichever is higher | 1% of Premium or Rs.100/- per lot whichever is higher | | |
| Minimum Brokerage | 0.05 per share or 0.05% whichever is higher | 0.10 per share or 0.10% whichever is higher | | |
| Auction Charges | 0.10% (As levied by Exchange) | 0.10% (As levied by Exchange) | | |

Note:

- The above charges are exclusive of GST, Securities Transaction Tax, other charges and stamp duty. The same shall be charged to the Client's account on an actual basis.
- The rates as discussed/agreed and consented between the Client and Elara Securities (India) Private Limited officials shall be made applicable
- Inter Settlement / DP transaction charges arising out of purchase/sell transactions effected by constituents will be debited to the Constitute Account
- In case of expiry of future contracts and exercise and assignment of option, Derivatives Settlement Charges may be levied.
- In the case of buy/sell of the same security during the day, the brokerage will be levied on the higher side of the transaction amount/price for both intra-day and delivery transactions.
- The same delivery brokerage slab which is applicable in Capital Market shall be applicable in Derivative Physical Delivery and 18% GST shall be charged.



Client Signature / Authorised Signatory

Tariff Sheet – Demat

SCHEDULE OF DEMAT ACCOUNT CHARGES

| Sr. | Account Head | Rate |
|-----|--|--|
| 1 | Account Opening | NIL |
| 2 | Account Maintenance Charges | Individual - Rs. 400/- Per Annum, Corporate - Rs. 1000/-Per Annum (Inclusive Rs. 500 payables to CDSL) |
| 3 | Custody Charges | NIL |
| 4 | Dematerialisation | Rs. 10/- per Certificate, Plus Actual Courier Charges |
| 5 | Rematerialisation | Rs. 25/- for every 100 Securities OR Rs. 25/- per certificate, whichever is higher |
| 6 | Market/Off-Market Transactions (Sell) within Elara | 0.02% of the value of securities subject to minimum charges of Rs.25/- per transaction and a maximum of Rs.250 per transaction |
| 7 | Market & Off-Market Transaction (Buy) | NIL |
| 8 | Market / Off - Market Transaction (Sell) outside Elara | 0.04% of the value of securities subject to minimum charges of Rs.50/- per transaction maximum of Rs.500 per transaction |
| 10 | Pledge / Unpledged | Rs. 100/- per transaction |
| 11 | Pledge Invocation | Rs. 100/- per transaction |
| 12 | Margin Pledge / Unpledge Setup | Rs. 10/- per transaction |
| 13 | Freeze and Unfreeze | Rs.25/- per transaction |
| 14 | Reconversion MF Units | Rs.25/- per transaction |
| 15 | Failed Transaction | NIL |
| 16 | Demat Rejection Charges | NIL |
| 17 | Other charges, if any | Franking Charges For POA-Rs.510/- And KRA Charges Rs.35/- |

Terms and Conditions for Elara Securities (India) Private Limited DP Charges




1. The above charges are exclusive of GST which will be levied as 'applicable' from time to time.
2. No charges are payable for the opening of Demat accounts.
3. KRA/ CKYC charges on an actual basis, on account of fetching and/or registration form/with KRA/ CKYC authority
4. Elara Securities (India) Private Limited reserves the right to revise the tariff structure from time to time, & the same will be communicated to the customers with a notice of 30 days.
5. Please note that in terms of SEBI Circular No. CIR/MRD/DP/20/2010 dated July 1, 2010, in the event of the closing of your demat account or shifting of the demat account from us to another DP we shall refund you the Account Maintenance Charges for the unrealized quarter/balance of quarters.
6. For availing 'Easiest' facility of CDSL, the charges as levied by CDSL would be collected from clients at actual
7. Value of the transaction will be in accordance with rates provided by Depository.

8. Cheque should be drawn in favour of "Elara Securities (India) Private Limited" (For Bounce cheque Rs.250/-penalty will be charged)
9. Rs.25/- per scrip will be charged in case Instruction is received on the same day of Payin (Company will not be responsible for any claims in case instruction is received late i.e. on the same day of PAYIN).
10. Demat charges shall be applicable for mutual fund transactions.
11. Currently, I/We want to open a regular Demat Account. I/We are aware that my regular Demat Account will be converted to BSDA as per SEBI Circular No. CIR/MRD/DP/20/2015 dated 11th December 2015, at the end of the billing cycle if the same is eligible for the BSDA as per SEBI guidelines. Despite this, in subsequent years. I/We hereby request you to allow me/us to continue the said Demat Account under the normal scheme as availed by me/us at the time of account opening/modified (if any) to avail of regular DP services. If I/We wish to convert the said Demat Account to BSDA, I/We shall intimate the same to Elara Securities (India) Private Limited.
12. I/We are made aware of the BSDA (Basic Service Demat Scheme) facility as per SEBI Circular No. CIR/MRD/DP/22/2012 dated 27th August 2012. If I wish to open the demat account under the BSDA scheme, then I/We will make a separate request to avail of the same services.
13. AMC charges will be debited on a Monthly/Quarterly basis.
14. Depository transaction charges will be payable monthly and will be debited in your trading account.
15. Effective 1 Jul'20 Stamp Duty charges would be collected from BO on consideration amount of OffMarket transfer and from pledgee for Pledge invocation request, before execution of request.

Acceptance by client

I/We accept above Charges Structure.

| | | | | | | | | | | | | | | | | | |
|--------------|----------|----------|----------|----------|----------|----------|----------|----------|------------------|--|--|--|--|--|--|--|--|
| DP ID | 1 | 2 | 0 | 8 | 5 | 9 | 0 | 0 | Client ID | | | | | | | | |
|--------------|----------|----------|----------|----------|----------|----------|----------|----------|------------------|--|--|--|--|--|--|--|--|

| | First Holder | Second Holder | Third Holder |
|------------------|---|--|---|
| NAME | | | |
| SIGNATURE |  |  |  |

PART - I

FATCA/CRS Declaration- Non Individuals

A. Is the account holder a Government body/International ☐ Yes ☐ No

Organization/listed company on recognized stock exchange

If "No", then proceed to point B

If "yes" please specify name of stock exchange, if you are listed company _____, and proceed to sign the declaration

B. Is the account holder a (Entity/Financial Institution) ☐ Yes ☐ No

tax resident of any country other than India

If "yes", then please fill of FATCA / CRS Self certification Form

If "No", proceed to point C

C. Is the account holder an Indian Financial Institution ☐ Yes ☐ No

If "yes", please provide your GIIN, if any _____

If "No", proceed to point D

D. Are the Substantial owners or controlling persons in the ☐ Yes ☐ No

entity or chain of ownership resident for tax purpose in

any country outside India or not an Indian citizen

If "yes", (then please fill FATCA/ CRS self-certification form)) .

If "No", proceed to sign the declaration

Customer Declaration

() Under penalty of perjury, I/we certify that:

1. The applicant is:

(i) An applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S.,

(ii) An estate the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person)

2. The applicant is an applicant taxable as a tax resident under the laws of country outside India.

(ii) I/We understand that Elara Securities (India) Private Limited is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. Elara Securities (India) Private Limited is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

(iv) I/We agree that as may be required by domestic regulators/tax authorities, Elara Securities (India) Private Limited may also be required to report, reportable details to CBDT or close or suspend my account.

(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

| | |
|---|--------------|
| Name of the Entity | |
| Signature | |
| Name & Designation of the Person Signing this Declaration | |
| Date (DD/MM/YYYY): ____/____/____ | Place: _____ |

PART - II

Self-Certification Form (Entity) for Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standards (CRS)

| Section 1: Entity information | |
|---|--|
| Name of Entity | |
| Permanent Account Number | |
| Customer id (if existing) | |
| Entity Constitution Type (Refer Appendix 2) | |
| Entity Identification type (Refer Appendix 2) | <input type="checkbox"/> T <input type="checkbox"/> G <input type="checkbox"/> C <input type="checkbox"/> E <input type="checkbox"/> O |
| Entity Identification No (based on entity identification type) | |
| Entity Identification issuing country | |
| Country of Residence for tax purpose | |

| Section 2: Classification of Non-Financial entities | | | | | | | | | | | | | | | | | | | | | |
|--|--|-----|--|--|--|--|--|--|--|--|--|--|--|---|--|--|--|--|--|--|--|
| I/We (on behalf of the entity) certify that the entity is: | | | | | | | | | | | | | | | | | | | | | |
| a) An entity incorporated and taxable in US (Specified US person) | <input type="checkbox"/> Yes <input type="checkbox"/> No | | | | | | | | | | | | | | | | | | | | |
| If "Yes", please provide your U.S. Taxpayer Identification Number (TIN) | | | | | | | | | | | | | | | | | | | | | |
| <table border="1" style="width: 100%;"> <tr> <td colspan="10">TIN</td> </tr> <tr> <td></td><td></td><td>-</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table> | | TIN | | | | | | | | | | | | - | | | | | | | |
| TIN | | | | | | | | | | | | | | | | | | | | | |
| | | - | | | | | | | | | | | | | | | | | | | |
| b) An entity incorporated and taxable outside of India (other than US) | <input type="checkbox"/> Yes <input type="checkbox"/> No | | | | | | | | | | | | | | | | | | | | |
| If "Yes", please provide your TIN or its functional equivalent | | | | | | | | | | | | | | | | | | | | | |
| Provide your TIN issuing country _____ | | | | | | | | | | | | | | | | | | | | | |
| <table border="1" style="width: 100%;"> <tr> <td colspan="10">TIN</td> </tr> <tr> <td></td><td></td><td>-</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table> | | TIN | | | | | | | | | | | | - | | | | | | | |
| TIN | | | | | | | | | | | | | | | | | | | | | |
| | | - | | | | | | | | | | | | | | | | | | | |
| c) Please provide the following additional details if you are not a Specified US Person : | | | | | | | | | | | | | | | | | | | | | |
| FATCA / CRS classification for Non-financial entities (NFFE) | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Active NFFE | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Passive NFFE <u>without</u> any controlling Person | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Passive NFFE <u>with</u> Controlling Person(s): | | | | | | | | | | | | | | | | | | | | | |
| US <input type="checkbox"/> Others <input type="checkbox"/> | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus bank is not required to do the reporting) | | | | | | | | | | | | | | | | | | | | | |
| Please provide GIIN number: _____ | | | | | | | | | | | | | | | | | | | | | |

Section 3: Classification of financial institutions (including Banks)

I/We (on behalf of the entity) certify that the entity is :

a. An entity is a U.S. financial institution

☐ Yes ☐ No

If “Yes”,

(i) Please provide your Taxpayer Identification Number (TIN)

| TIN/EIN | | | | | | | | | |
|---------|--|---|--|--|--|--|--|--|--|
| | | - | | | | | | | |

(ii) Please provide GIIN, if any _____

If “No”, please tick one of the following boxes below:

| FATCA classification | Please provide the Global Intermediary Identification number (GIIN) or other information where applicable |
|---|---|
| <input type="checkbox"/> Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement (“IGA”) Jurisdiction | |
| <input type="checkbox"/> Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction | |
| <input type="checkbox"/> Participating FFI in a Non-IGA Jurisdiction | |
| <input type="checkbox"/> Non-reporting FI | |
| <input type="checkbox"/> Non-Participating FI | |
| <input type="checkbox"/> Owner-Documented FI with specified US owners | |

Section 4: Controlling person declaration

If you are classified as “Passive NFFE with Controlling Person(s)” or “Owner documented FFI” or “Specified US person”, please provide the following details:

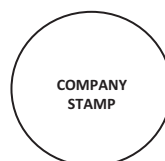
| Name of controlling person | Correspondence Address | Country of residence for tax purpose | TIN | TIN issuing country | Controlling person type |
|----------------------------|------------------------|--------------------------------------|-----|---------------------|-------------------------|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

| Details | Controlling person 1 | Controlling person 2 | Controlling person 3 | Controlling person 4 | Controlling person 5 |
|---|----------------------|----------------------|----------------------|----------------------|----------------------|
| Gender | | | | | |
| Father's Name | | | | | |
| Identification Type (Refer Appendix 2) | | | | | |
| Identification Number | | | | | |
| Occupation Type (Refer Appendix 2) | | | | | |
| Occupation | | | | | |
| Birth Date | | | | | |
| Place of Birth | | | | | |
| Country of Birth | | | | | |
| Nationality | | | | | |
| Country of Birth | | | | | |

Section 5: Declaration

- (i) Under penalty of perjury, I/we certify that:
1. The number shown on this form is the correct taxpayer identification number of the applicant, and
 2. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof, or
 3. The applicant is an applicant taxable as a tax resident under the laws of country outside India.
- (ii) I/We understand that Elara Securities (India) Private Limited is relying on this information for the purpose of determining the status of the applicant named above in compliance with CRS/FATCA. Elara Securities (India) Private Limited is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (iii) I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. .
- (iv) I/ We agree as may be required by /Regulatory authorities, Elara Securities (India) Private Limited shall be required to comply to report, reportable details to CBDT or close or suspend my account.
- (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.

☐ I/We hereby confirm that details provided are accurate, correct and complete



Authorized Signatories and Company Seal (if applicable)

Name _____

Date (DD/MM/YYYY) _____

Appendix I - Further instruction for completing the Self-Certification Form

(A) “passive non-financial entity” means,-

- (i) any non-financial entity which is not an active non-financial entity, or
- (ii) an investment entity described in sub-clause (B) of clause (c) of *Explanation* to clause (III) of sub-rule (5) of this rule, or
- (iii) a withholding foreign partnership or withholding foreign trust.

(B) “Passive income” includes income by way of: (i) dividends; (ii) interest; (iii) income equivalent to interest; (iv) rents and royalties (other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the non-financial entity); (v) annuities; (vi) the excess of gains over losses from the sale or exchange of financial assets that gives rise to the passive income; (vii) the excess of gains over losses from transactions (including futures, forwards, options, and similar transactions) in any financial assets; (viii) the excess of foreign currency gains over foreign currency losses; (ix) net income from swaps; or (x) amounts received under cash value insurance contracts:

(C) “Active non-financial entity” means any non-financial entity which meets any of the following criteria, namely:-

- (i) less than 50 per cent of the entity’s gross income for the preceding *financial year* is passive income and less than 50 per cent of the assets held by the entity during the preceding financial year are assets that produce or are held for the production of passive income; or
- (ii) the stock of the entity is regularly traded on an established securities market or the non-financial entity is a related entity of an entity the stock of which is regularly traded on an established securities market; or

Explanation- For the purpose of this sub-clause, an established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange.

- (iii) the entity is a Governmental Entity, an International Organization, a Central Bank , or an entity wholly owned by one or more of the foregoing; or
- (iv) substantially all of the activities of the entity consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a financial institution, except that an entity does not qualify for this status if it functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes; or
- (v) the entity is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a financial institution, provided that the entity does not qualify for this exception after the date that is 24 months after the date of the initial organization of the entity; or
- (vi) the entity was not a financial institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a financial Institution; or
- (vii) the entity primarily engages in financing and hedging transactions with, or for, related entities that are not financial institutions, and does not provide financing or hedging services to any entity that is not a related entity, provided that the group of any such related entities is primarily engaged in a business other than that of a financial institution; or

(viii) the entity meets all of the following requirements, namely:-

- (a) It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labour organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;
- (b) It is exempt from income-tax in India;
- (c) It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- (d) The applicable laws of the entity's jurisdiction of residence or the entity's formation documents do not permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of the entity's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the entity has purchased; and
- (e) The applicable laws of the entity's jurisdiction of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other non-profit organization, or escheat to the government of the entity's jurisdiction of residence or any political subdivision thereof.

(D) "Controlling person" means the natural persons who exercise control over an entity and includes a beneficial owner as defined in *Explanation* to sub-rule (1A) of rule 9 of Prevention of Money-laundering (Maintenance of Records of the Nature and Value of Transactions, the Procedure and Manner of Maintaining and Time for Furnishing Information and Verification and Maintenance of Records of the Identity of the Clients of the Banking Companies, Financial Institutions and Intermediaries) Rules, 2005.

Pursuant to guidelines on identification of Beneficial Ownership issued vide RBI circular no. DBOD.AML.BC.No.71/14.01.001/2012-13 dated January 18, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of / entitlements to:

- i. More than 10% of shares or capital or profits of the juridical person, where the juridical person is a company;
- ii. More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- iii. More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

Where the client is a trust, the banking company and financial institution, as the case may be, shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settler of the trust, the trustee, the protector, the beneficiaries with 10% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

(ii) In cases where there exists doubt under (i) as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means.

Explanation: Control through other means can be exercised through voting rights, agreement, arrangements, etc. (iii) Where no natural person is identified under (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official..

(E) "U.S. Person" means a United States of America citizen or resident individual, a partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof, a trust if (i) a court within the United States of America would have authority under applicable law to render orders or judgments concerning

substantially all issues regarding administration of the trust, and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust, or an estate of a decedent that is a citizen or resident of the United States of America.

(F) “Specified U.S. Person” – A U.S. person other than the following:

- i. a corporation the stock of which is regularly traded on one or more established securities markets;
- ii. any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- iii. the United States or any wholly owned agency or instrumentality thereof;
- iv. any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- v. any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- vi. any bank as defined in section 581 of the U.S. Internal Revenue Code;
- vii. any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- viii. any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- ix. any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- x. any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- xi. a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- xii. a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- xiii. Any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(G) Non-reporting financial institution

Non-reporting financial institutions will not have any reporting obligations under FATCA and CRS.

Non-reporting financial institution means any financial institution that is,-

- (a) a Governmental Entity, International Organization or Central Bank, other than with respect to a payment that is derived from an obligation held in connection with a commercial financial activity of a type engaged in by a Specified Insurance Company, Custodial Institution, or Depository Institution;
- (b) a Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank;
- (c) a non-public fund of the armed forces, Employees’ State Insurance fund, a gratuity fund or a provident fund;
- (d) an entity that is an Indian financial institution solely because it is an investment entity, provided that each direct holder of an equity interest in the entity is a financial institution referred to in sub-clauses (a) to (c), and each direct holder of a debt interest in such entity is either a depository institution (with respect to a loan made to such entity) or a financial institution referred to in sub-clauses (a) to (c);
- (e) a qualified credit card issuer;
- (f) an investment entity established in India that is a financial institution solely because it,-

(I) renders investment advice to, and acts on behalf of, or

(II) Manages portfolios for, and acts on behalf of, or

(III) Executes trades on behalf of a customer for the purposes of investing, managing, or administering funds or securities deposited in the name of the customer with a financial institution other than a non-participating financial institution;

(g) an exempt collective investment vehicle;

(h) a trust established under any law for the time being in force to the extent that the trustee of the trust is a reporting financial institution and reports all information required to be reported under rule 114G with respect to all reportable accounts of the trust;

(i) a financial institution with a local client base;

(j) a local bank;

(k) a financial institution with only low-value accounts;

(l) sponsored investment entity and controlled foreign corporation, in case of any U.S. reportable account; or

(m) sponsored closely held investment vehicle, in case of any U.S. reportable account.

(H) Non-participating financial institution

Non-participating financial institution means a financial institution defined in clause (r) of Article 1 of the agreement between the Government of the Republic of India and the Government of the United States of America to improve international tax compliance and to implement Foreign Account Tax Compliance Act of the United States of America (herein after referred to as the FATCA agreement), but does not include,-

(a) an Indian financial institution; or

(b) Other jurisdiction, being a jurisdiction that has in effect an agreement with the United States of America to facilitate the implementation of Foreign Account Tax Compliance Act (herein referred to as other partner jurisdiction), financial institution, other than a financial institution treated as a non-participating financial institution.

(I) Owner Documented FFI is an FFI that meets the following:

(a) The FFI is an FFI solely because it is an investment entity;

(b) The FFI is not owned by or in an expanded affiliated group with any FFI that is a depository institution, custodial institution, or specified insurance company;

(c) The FFI does not maintain a financial account for any nonparticipating FFI;

(d) The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and

(e) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 FFI, to the relevant foreign government or agency thereof) all of the information (as appropriate) with respect to any specified U.S. persons that are identified.

Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFFE.

Appendix 2 – Reference Codes

| | | |
|--|--|---|
| Entity Constitution Type | | |
| A - Sole Proprietorship | D - Private Limited Company | G- AOP/BOI |
| B - Partnership Firm | E- Public Limited Company | H – Trust |
| C – HUF | F- Society | I – Liquidator |
| J – Limited Liability Partnership | K- Artificial Juridical Person | Z – Others |
| | | |
| Entity Identification type | | |
| T- Tax identification number | G- US Global intermediary Identification number | O - Other |
| C- Company Identification Number | E- Global Entity Identification Number (EIN) | |
| | | |
| Controlling Person Type | | |
| C01- CP of legal person – ownership | C02- CP of legal person – other means | C03- CP of legal person – senior managing official |
| C04- CP of legal arrangement – trust-settlor | C05 – CP of legal arrangement – trust – trustee | C06 – CP of legal arrangement – trust - protector |
| C07 – CP of legal arrangement – trust-beneficiary | C08 – CP of legal arrangement – trust – other | C09 – CP of legal arrangement – other- settlor equivalent |
| C10 – CP of legal arrangement – other-trustee equivalent | C11 – CP of legal arrangement – other-protector equivalent | C12 – CP of legal arrangement – other- beneficiary equivalent |
| C13 – CP of legal arrangement – other – other equivalent | C14 - Unknown | |
| | | |
| Controlling person identification type | | |
| A-Passport | C-Pan card | H- NREGA job card |
| B-Election ID card | D-ID Card | Z-Others |
| E-Driving License | G-UIDAI Letter | X-Not categorised |
| | | |
| Controlling person occupation type | | |
| S- Service | O- Others | X- Not categorised |
| B- Business | | |

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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

Name of the Client:

Signature:



A. AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE/PHYSICAL MODE

To,

Date: ____/____/____

Elara Securities (India) Private Limited

One International Center, Tower 3, 21st Floor,
 Senapati Bapat Marg, Elphinstone Road
 (West) Mumbai – 400 013, India

Sub: AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE/PHYSICAL MODEContract Note: Digital Mode ☐ Physical Mode ☐Other Documents: Digital Mode ☐ Physical Mode ☐

I/We hereby consent to receive from Elara Securities (India) Private Limited the digital contract notes, bills, ledgers, transaction statements, demat statement of accounts/ holding statement(s)/bills/other statements, notices, circulars, amendments and such other correspondence documents, records by whatever name called in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 and the rules made thereunder to my below mentioned email id (said email id). E-mail Id : _____ I/We further hereby agree that the Elara Securities (India) Private Limited. shall fulfill the legal obligation, if the above documents are sent electronically to the said e-mail id and I/We am/are aware that I/we will not receive the statements / documents in paper form. In this regard, I/we further confirm and agree that:

- The above is my/ our personal E-mail id. I/We shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of the abovementioned e-mail account. Elara shall not be liable to or responsible for any breach of secrecy. I/We am/are aware that the statements/ documents may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised. I/We will be solely responsible for the security of the information provided on my/ our aforesaid e-mail id.
- E-mails sent to any of the abovementioned e-mail account, which have not bounced back, shall be deemed to be duly delivered to the me/us.
- Elara shall not take cognizance of out-of-office/ out of station auto replies and I/We shall be deemed to have received such electronic mails.
- Such Statements shall be deemed to have been delivered on the day when the e-mail is sent by Elara.
- I/We further agree that Elara may at its sole discretion also provide / discontinue such statements in physical form.
- Elara shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof.
- Elara shall not be liable for any problem, which arises at my/our computer network because of my/our receiving any Statement from Elara.
- I/We shall inform Elara by way of a letter in writing duly signed by me or inform through internet platform if there is any change in the Email given above.
- I/We undertake to check the Statement and bring the discrepancies to your notice within the time period as specified under the relevant agreements entered into with Elara. My/Our non-verification or not accessing the Statement on regular basis shall not be a reason for disputing the same at any time.
- I/We shall inform in writing in prescribed format to Elara to discontinue the said facilities. I/We and Elara shall have the right to terminate such service provided a written notice is given at least 10 days in advance to the other party.

I/We shall immediately inform Elara about change in email address, if any. I/We further agree that Elara will not be responsible for non receipt of documents sent via electronic delivery due to change in/incorrect email address/correspondence address as mentioned or any other reason which inter alia include technical reasons or malfunction of my/our computer system/server/internet connection etc. Further I/We agree and undertake to indemnify Elara and its group companies, that they will not be held liable/ responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of this information or pursuant to any litigation cases, complaints, actions, etc that may arise in future on account of my/ our above authorization request.

Name of the Client: _____

Client code - _____ BO Id - 12085900

Signature: _____



AUTHORITY TO RETAIN FUNDS AS RUNNING ACCOUNT FOR ALL EXCHANGES - VOLUNTARY

Date: _____

To,
Elara Securities (India) Private Limited
One International Center, Tower 3, 21st Floor,
Senapati Bapat Marg, Elphinstone Road West,
Mumbai – 400 013, India.

Dear Sir/Madam,

Subject: Authority to retain Funds towards Margin in CM, F&O and any other segment.

Ref: My UCC Code: _____ Name: _____

- i. In order to facilitate ease of operations I/We hereby authorize you to effect the release of funds due to me in the account and arising out of the transaction executed by me through you on a running account basis instead of on a settlement-to-settlement basis.
- ii. I/We request you to maintain the running balance in my/our account & retain the credit balance in any of my/our accounts and to use the unused funds towards my margin/pay-in/other future obligation(s) in any segment(s) of any or all the exchange(s) and to meet margin obligations calculated in the manner specified by the exchanges. This is to facilitate ease of operations and upfront requirement of margin for trade.
- iii. I/We agree to settle and/or request you to settle my fund account as stated above, except the funds given towards collaterals/margin in form of a Bank Guarantee and/or Fixed Deposit Receipt.
- iv. With effect from October 01, 2022, the settlement of the running account of funds shall be done after considering the End of the day (EOD) obligation of funds as on the date of settlement across all the Exchanges on the first Friday of the Quarter (i.e., Apr-Jun, Jul-Sep, Oct-Dec, Jan-Mar) for all the clients i.e., the running account of funds shall be settled on first Friday of October 2022, January 2023, April 2023, July 2023 and so on for all the clients. If the first Friday is a trading holiday, then such settlement shall happen on the previous trading day.
- v. For clients, who have opted for Monthly settlement, the running account shall be settled on the first Friday of every month. If the first Friday is a trading holiday, then such settlement shall happen on the previous trading day.
- vi. I/We have any outstanding trade position on the day on which settlement of the running account of funds is scheduled, you may retain the funds as per the calculation specified in the SEBI circular having reference no SEBI/HO/MIRSD/DOP/P/CIR/2021/577 dated June 16, 2021.
The retention statement shall be sent along with the statement of running accounts to me/us as per the existing provisions within 5 working days from the date of settlement.
- vii. I/We have an outstanding obligation in the derivative market on the settlement date, apart from margin liability you may retain additional margins (maximum up to 125% of margin requirement on the day of settlement) to take care of any margin obligation arising in next 5 trading days calculated in the manner specified by the Exchanges.

- viii. In case of a credit balance, and I/We have not done any transaction in the 30 calendar days since the last transaction, I/we request you to return the credit balance, within the next three working days irrespective of the date when the running account was previously settled.
- ix. In cases where a physical payment instrument (cheque or demand draft) is issued by you towards the settlement of the running account, the date of realization of the physical instrument into my/our bank account shall be considered as the settlement date and not the date of issue of the physical instrument.
- x. Once the running account of funds is settled by you, an intimation shall be sent to me/us by SMS on our registered mobile number and also by email on our registered email id provided to you at the time of account opening. The intimation should also include details about the transfer of funds (in case of electronic transfer – transaction number and date; in case of physical payment instruments – instrument number and date).
- xi. In the event I/We have any dispute arising from the statement of account received from Elara Securities (India) Private Limited, I/We will bring the same to the notice of MEMBER within 30 trading days from the date of receipt of funds or the statement, as the case may be.
However, my preference for periodic settlement of funds settlement date is as follows (tick the appropriate choice):

| | |
|---|---|
| <input type="checkbox"/> Once in a calendar Month | <input type="checkbox"/> Once in the calendar Quarter |
|---|---|

(If no check box is selected, the settlement will be done Quarterly)

As per SEBI CIR/MIRSD/01/2011 dated May 13, 2011.


- The authorization and instructions contained in this letter are revocable at any time by me without giving any notice. I/We acknowledge that the authorization contained in this letter shall continue until it is revoked by me.
- If the authorization contained in this letter is revoked for any reason whatsoever, then I/We understand and agree that Elara Securities (India) Private Limited shall be entitled to settle my Broking Account on a per-trade basis or in such manner permitted by applicable Regulations issued from time to time.

The authorization shall be signed by me only and not any power of attorney holder.

Thanking You,

Yours faithfully,

Name of the Client: _____



Client Signature / Authorised Signatory

C. AVAILING OF BSE STAR MUTUAL FUND FACILITY

To,

Date: ____/____/____

Elara Securities (India) Private Limited

One International Center , Tower 3, 21st Floor,
 Senapati Bapat Marg, Elphinstone Road (West)
 Mumbai – 400 013, India

Sir,

Availing of BSE StAR MUTUAL FUND facility (herein referred to as “Mutual Fund Transaction Facilities”)
☐ Yes ☐ No

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Trading Member and Client Agreement for the purpose of trading in the Equity Segment of Bombay Stock Exchange Ltd. (Exchange).

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

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

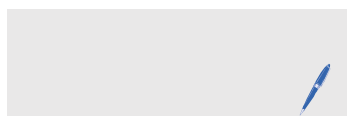
I/We are willing to abide by the terms and conditions as mentioned in the Notice dated December 2, 2009 and as may be specified by the Exchange from time to time in this regard.

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

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

I/we therefore request you to register me/us as your client for participating in BSE StAR MF.

Thanking you,
 Yours faithfully,



(Client Signature)

Note: In case of any correction in the form sign next to the correction done and Client signature has to match the original signature

D. DETAILS OF TERMS & CONDITIONS FOR THE INVESTOR / CLIENT FOR USING BSE STAR MF PLATFORM**1. Pre-requisites for becoming Investor / Client for the BSE STAR MF platform**

- 1.1. The client who is desirous of investing in units of mutual fund schemes through the BSE STAR MF.
- 1.2. 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 BSE STAR MF platform.
- 1.3. 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.
- 1.4. The Client has approached to the MFI with the application for availing the BSE STAR MF platform.
- 1.5. 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 issued by BSE's Rules, Regulations and Notices/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 form' provided by the client to the MFI at the time of registering as a client for participating in the BSE STAR 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 order 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 BSE, 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, transactions 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 or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- 2.9. In the event of non-performance of the obligation by the MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of BSE or its Clearing Corporation - Indian Clearing Corporation Ltd. (ICCL).
- 2.10. In case of any dispute between the MFIs and the investors arising out of the BSE STAR MF platform, BSE and / or ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

LETTER FOR SECURITIES TRADING USING INTERNET & WIRELESS TECHNOLOGY - VOLUNTARY

To,
Elara Securities (India) Private Limited
One International Center,
Tower 3, 21st Floor,
Senapati Bapat Marg,
Elphinstone Road West,
Mumbai – 400013

Sub: Securities trading using Internet & wireless technology (incl. trading through mobile application).

Dear Sir / Madam,

I/ we _____ registered as your client having trading code - _____ wish to trade through Internet & wireless technology (including trading through mobile application) in the NSE Cash, NSE F&O segment and BSE cash & F&O Segment.

I/we am / are interested in carrying securities trading through use of Internet & wireless technology which shall include devices such as mobile phone, PC's & laptop with data card etc. using internet protocol (IP) and /or through mobile application.

I/we understand that the terms and conditions applicable to internet based trading will also be applicable to securities trading through use of wireless technology. I/ we am/are made aware by you regarding all the possible risks including risk of misuse and unauthorized use of username and or password by a third party and the risk of a person hacking into our account on your ITORS system and, responsibilities and liabilities associated with securities using Internet & wireless technology.


I/we shall be fully liable and responsible for any and all unauthorized use and misuse of our password and/ or username and also for any and all acts done by any person through your ITORS system on our username in any manner whatsoever.

I/we hereby confirm you to send my/ our username and password on my/ our registered e-mail address _____ and therefore request you to enable me/ us for carrying securities trading through use of Internet & wireless technology (Including trading through mobile Application)

With thanks and regards,

Client Name _____

Trading Code _____

_____ 

Client Signature / Authorised Signatory

INTERNET TRADING - TERMS AND CONDITIONS (VOLUNTARY CLAUSES)

The Stock Broker offers and/or proposes to offer the Internet Trading Service through the ODIN Trading application to its Clients; and the Client desires to avail the internet trading service for purchasing, selling or otherwise dealing in securities subject to the terms and conditions set out herein the client shall be deemed to have read, understood and agreed to the following terms and conditions in the event the Client avails the Internet Trading service provided by the Stock Broker through the ODIN Trading facility:

1. DEFINITIONS:

1.1 In these terms and conditions (including the recitals above), unless the context otherwise requires the following words shall have the following meanings:

- a. "Exchange Provisions" means the Rules, Byelaws, Regulations, Business Requirements, specification, handbooks, notices, circulars and resolutions of the exchange or any segments of the Exchange in force from time to time.
- b. "Internet Trading" means Internet based Trading through Order Routing system, being a system approved by the Exchange for enabling clients to route their order to Stock Broker over the internet.
- c. "Internet Trading Account Application" means the Client Registration form along with the other supporting documents submitted by the Clients to the Stock Broker to permit the Client to avail of the Stock Broker's Internet Trading Service.
- d. "Internet Trading Service" or "Service" means the service offered by the Stock Broker as approved by the Exchange(s) to its clients through Internet Trading where under the clients can route their orders for purchase, sale and other dealings in Securities through the Stock Broker's Internet Trading System as approved by the Exchange(s).
- e. "Password" means an alphanumeric code used by the Client to validate his/her username and accesses the Service
- f. "Username" means an alphanumeric login identification used by the Client for accessing the Service.

2. INTERNET TRADING SERVICE

The Stock Broker provides the internet Trading Service to the Client subject to these terms and conditions and the provisions of the rights & obligations of stock broker, the exchange provisions, SEBI guidelines and the terms of the Website through which Internet Trading Service is provided. The Stock Broker shall be entitled to / alter these terms and conditions and such changes will be highlighted on the trading terminal and such acceptance by the client will be deemed to be a notice. The use of Internet Trading acceptance by the Client of said terms and conditions including any modifications / alteration thereto.

3. USER NAME AND PASSWORD


- 3.1 The Client will be entitled to a username and password, which will enable him to access the Stock Broker's Internet Trading Website for availing of the Internet Trading Service.
- 3.2 The Client is aware that the Stock Broker's Internet Trading Website itself generates the initial password encrypts and passes on the password to the client. The Client agrees and undertakes to immediately change his initial password upon receipt thereof and subsequently to change his password with the period stipulated by the Stock Broker. The Client is aware that subsequent passwords are not known or available to the Stock Broker.
- 3.3 The Client shall be responsible for keeping the username and password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock Broker's Internet Trading Website using the Client's Username and/or password whether or not such person was authorized to do so.
- 3.4 The Client shall immediately inform the Stock Broker of any unauthorized use of the Client's Username or Password with full details or such unauthorized use including the date of such unauthorized use, the manner in which it was unauthorized used, the transactions effected pursuant to such unauthorized use etc.
- 3.5 The Client acknowledges that he is fully aware of and understands the risks associated with availing of a service for routing orders over the internet including the risk of misuse and unauthorized use of his username and/or password by a third party and the risk of a person hacking into the Client's account on the Stock Broker's Internet Trading Website and unauthorized routing orders on behalf of the Client through the System. The Client shall be fully liable and responsible for any and all unauthorized use and misuse of his password and/or username and also for any and all acts done by any person through Stock Broker's Internet Trading Website on the Client's username in any manner whatsoever.
- The Client undertakes to ensure that the password of the Client and/or his authorized representative are not revealed to any third party since authentication technologies and strict security measures are required for the internet trading though order routed system.
- 3.6 The Client shall log off from the Stock Broker Internet Trading Website at any time the Client is not accessing or using the Internet Trading service and any liability incurred to the Client as a consequence of the Client not logging off the service shall borne solely by the Client.
- 3.7 Without prejudice to the provisions of Clause 3.5, the Client shall immediately notify the Stock Broker in writing with full details if:
- (i) He discovers or suspects unauthorised access through his User name, Password or account.
 - (ii) He notices discrepancies that might be attributable to unauthorised access.
 - (iii) He forgets his password or
 - (iv) He discovers a security flaw in the Stock Broker's Internet Trading Website
- 3.8 In any of the above events specified in clause 3.7, the Client shall immediately change his password. However, if the Client is unable to change his password by reason of his having forgotten his password or his password having been unauthorized changed by some other

person or for any other reason than the Client shall immediately request the Stock Broker in writing to discontinue his password; and there upon the Stock Broker shall block the login to discontinue the use of the Client's password and Stock Broker's Internet Trading Website shall generate a new password for the Client which shall be communicated to the Client. At no point in time shall the Stock Broker be liable for any loss, whether notional or actual, that may be suffered by the Client on account of the misuse of the password.

4. Internet Trading Facility:

- a. The Stock Broker may permit day trading only in the list of scrip's specified for the purpose by the Stock Broker from time to time.
- b. The margin percentage applicable to each of the scrip shall be equal to the total margins levied by Exchange subject to a minimum of VAR% or Risk Management System and may be changed at the discretion of the Stock Broker from time to time without any further intimation.
- c. The minimum margin percentage for day trading in CM Segment shall be same. However for F&O segment margins will be as specified by the Stock Exchange from time to time.
- d. Day / Margin positions can be converted to delivery before the defined cut-off time subject to availability of clear funds or free securities balance.
- e. Mark-to-Market (MTM) process shall be triggered at periodic intervals during the day and MTM losses arising, if any, shall be fully recovered from the available buying power and MTM profits if any shall not be added to the Clients buying power. Also MTM losses of one scrip shall not be netted off against the MTM profits of another scrip of the same client.
- f. The Stock Broker may call for additional margin in case the Mark to Market (MTM) loss on the open margin positions exceeds the defined threshold limits.
- g. The Stock Broker may cancel the pending orders and place square-off orders to close all or some of the day positions if sufficient balance is not available to absorb the additional margins.
- h. If the balance is not sufficient to cover the MTM losses and or the additional margin call then the open positions under day trading shall be squared-off by the Stock Broker at the Client risk without attempting to call the Client, or converting to delivery or giving some grace time. If the Client has taken day positions in many scrip's then the Stock Broker may square off the scrip's on Clients behalf preferably and not necessarily be chosen on the basis of the descending order of the loss incurred, until the balance turns positive.
- i. The Stock Broker shall be entitled to square off Client's open margin position in case they have not been squared off or converted to delivery before the defined cut-off time.
- j. The Stock Broker may define the cut-off time by which the square off process shall be triggered and this may vary from time to time. The timings shall however be notified on the trading screen and the website.
- k. The square off orders shall be generated at market price and they may be executed at any price, which may be different from the price prevalent at the cut-off time.
- l. The losses, if any, arising on execution of the square off trades shall be borne by the Client.

- m. The Stock Broker shall have the right to cancel any or all open orders and/or close any or all outstanding contracts.
- n. Open margin positions that are not squared off for reasons beyond the control of Stock Broker such as price band, technical issues, etc. shall be converted to delivery.
- o. The Stock Broker will not deliver the shares to the Client, if the position cannot be successfully converted to delivery due to non-availability of funds in case of open buy positions and may liquidate such shares instantaneously on the receipt of purchased securities from Exchange and the Client shall be liable for any resulting losses, brokerage, and all associated costs which include brokerage stamp duty, auction charges, facilitation charges, STT, turnover charges incurred for the purpose.
- p. The Client shall bear the losses and all associated costs which include brokerage stamp duty, auction charges, facilitation charges, STT, turnover charges including penalty levied by the Exchange arising out of the auction and or close out as per the rules of the concerned Exchange, If the position cannot be successfully converted to delivery due to shortage of shares in demat account linked to trading in case of open sell positions.
- q. The Stock Broker reserves the right to square off any open margin positions, if the current market price breaches the specified percentage when compared with the previous day's closing price for that scrip. The specified % as per Risk Management System shall be notified from time to time.

| Name of Client | Signature of the client |
|----------------|---|
| |  |

PMLA GUIDELINES

Elara Securities (India) Private Limited - Anti Money Laundering – Investor Awareness Initiative

Money laundering is a process of making dirty money clean. money is moved around the financial system again and again in such manner that its origin gets hidden.

It involves complex chain of activities whereby huge amount of money generated from illegitimate activities viz. selling of narcotic drugs, extortion, corruption, illicit dealing in weapons, human trafficking, etc. is put through a series of process so that it comes out at the other end as clean and legal money. Terrorist organizations encourage money laundering to support their illegal acts.

It is important to note due to increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge the duties cast on us under the applicable laws or we becoming an instrumental or a part of the chain, even if unknowingly or ignorantly, may invite the trouble.

In order to fight against the money laundering and terrorist financing the Prevention of Money Laundering Act (PMLA) was brought into force w.e.f. July 1, 2005 in India. Guidelines were also issued in the context of the recommendations made by the Financial Action Task Force on anti-money laundering standards, Compliance with these standards has become imperative for international financial relations.

PMLA is applicable to every intermediary registered with Securities & Exchange Board of India (SEBI), which includes a stockbroker, depository participant, portfolio manager, sub-broker and any other intermediary associated with securities market.

As per the provisions of PMLA, the intermediaries are required to comply with Know Your Client (KYC) norms, conduct ongoing client due diligence to ensure that the activity being conducted in any account is consistent with the intermediary's knowledge of the client, its business and risk profile.

In light of the above, you are requested to provide the information or documents evidencing source of funds, income tax returns, bank records, demat holding, etc. at the time of registration as a client with us or subsequently whenever asked for during the course of your dealings with us.

At Elara Securities (India) Private Limited, we have a responsibility to minimize our exposure to Money Laundering and Terrorist Financing activity. Our endeavour is to maintain high standards of customer due diligence & screening through our Policies & procedures with respect to Know Your Client (KYC) & Know Your Clients' Business.

Please refer to SEBI Master Circular on Anti Money laundering Standards (AML)/Combating Financing of Terrorism (CFT) obligations of securities market intermediaries under the Prevention of Anti-Money Laundering Act, 2002 and rules framed there under dated 04th July 2018.

FORMAT OF DECLARATION OF BENEFICIAL OWNERS
(REQUIRED AS PER SEBI CIRCULAR NO. CIR/MIRSD/2/2013 DATED JANUARY 24, 2013) (TO BE PRINTED ON LETTER HEAD)

<<<<<<on letterhead of Company>>>>>>

Ultimate Beneficial / Controlling Ownership Declaration

Date:

To,
Elara Securities (India) Private Limited
One International Center, Tower 3, 21st Floor,
Senapati Bapat Marg, Elphinstone Road (West)
Mumbai – 400 013,

Dear Sir,

Subject: **Declaration of beneficial / controlling ownership of** _____

Tick as appropriate

- A. ☐ We hereby declare that the following natural person (s) are holding beneficial interest equivalent or more than 10 % in _____, directly or indirectly.

| Sr. no | Name | % of Holding |
|--------|------|--------------|
| | | |
| | | |
| | | |

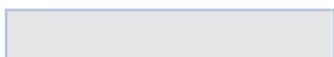
OR

- B. ☐ There is no natural person holding beneficial interest equivalent to or more than 10% in _____, directly or indirectly and these are natural persons exercising control over the _____ through a chain of control or ownership.

We agree to promptly notify you of any change in the information provided above or if such information no longer holds true after the date of this letter.

For _____ (Name of the client)

SIGNATURE



Name _____ Designation _____

Date: _____

Place: _____

NOTES:

- 1) Controlling ownership interest through capital & profits: List of the natural person, who, whether acting alone or together or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest.

| Sr. No. | Where the juridical person is | Ownership of/entitlement to |
|---------|--|---|
| 1 | A company | More than 10% shares or capital or profits |
| 2 | A partnership | More than 15% capital or profits |
| 3 | An unincorporated association or body of individuals | More than 15% of the property or capital or profits |

- 2) Control over the juridical person through other means: where there exists doubt under clause 1A above as to whether the person with the controlling interest is the beneficial owner or where no natural person exerts control through ownership, provide list of natural person exercising control through other means i.e. through voting rights, agreement, arrangements or in any other manner.

Note: Kindly submit shareholding / ownership details in case 10% / 15% as mentioned above is held by Juridical person till beneficial owner is satisfactorily identified

ADDITIONAL RIGHTS AND OBLIGATIONS OF STOCK BROKERS AND CLIENTS

These Additional Rights and Obligations of Elara Securities (India) Private Limited ("Stock Broker") and the under signed Client are supplemental to the provisions of the Rights and Obligations of Stock Broker and Clients contained in the Broking Account Registration Form prescribed by SEBI ("Mandatory Rights and Obligations") and accepted by the Client. In the event of any inconsistency or conflict between the provisions of the Mandatory Rights and Obligations and this Additional Rights and Obligations, the provisions of the Mandatory Rights and Obligations shall prevail. The Mandatory Rights and Obligations and this Additional Rights and Obligations read in conjunction with the Broking Account Registration Form are hereinafter collectively referred "Rights and Obligations".

Additional Rights and Obligations

Before executing this Additional Rights and Obligations, the Stock Broker would like the Client to be aware that the provisions in this Additional Rights and Obligations are voluntary and at the Client's discretion to agree upon. The Client is under no obligation to execute this Additional Rights and Obligations with the Stock Broker. Even if the Client does execute this Additional Rights and Obligations, the Client is permitted to terminate it at any time in accordance with the terms below.

1. Terms and Conditions:

This Additional Rights and Obligations shall apply in conjunction with the Broking Account Registration Form ("General Terms"). Terms defined in the General Terms shall have the same meanings in this Additional Rights and Obligations unless otherwise defined in this Additional Rights and Obligations or unless the context otherwise requires.

2. Client Information:

- a) The Client authorizes the Stock Broker to disclose/share Client's information with any service provider or third party, in India or abroad, to the extent it is required for the purpose of discharging rights and obligations under the Rights and Obligations.

3. Giving Instructions and execution of orders:

- 1) Unless the Stock Broker agrees otherwise in writing, the Client shall give the Stock Broker instructions in relation to the business contemplated by the Rights and Obligations in writing (including by email) or by telephone. The Client agrees to honour all instructions provided by him to the Stock Broker and will be liable for all actions arising out of the said instructions.
- 2) Instructions become effective when the same is received by the Stock Broker. If the Client gives an instruction by telephone, facsimile or electronically, the Stock Broker may, at its discretion, ask the Client to confirm it in writing. In such cases, the Client must confirm its instruction as soon as possible to avoid any delay in the Stock Broker acting on it. The Client may also instruct the Stock Broker to change or cancel an instruction and the stock broker shall execute the revised instruction, if not already executed/pending execution at the Exchange(s). The Stock Broker shall not be liable to the Client for any loss or expense suffered or incurred by the Client if in the Stock Broker's opinion, the original instruction has already been executed at the time of receipt of the revised instruction or if the Stock Broker has insufficient time or is unable to change/cancel the original instruction and/or act on the revised instruction.
- 3) The Client is aware that under the present systems of the relevant Exchange, an unexecuted order is automatically cancelled at the end of the day and in the event the Client desires to recast the order on the following day, the Client shall be responsible for requesting the same.
- 4) The Client shall specify the Exchange on which its orders need to be executed. In the event the Client does not specify the Exchange, the Stock Broker shall execute the order in the Exchange which in the opinion of the Stock Broker is beneficial to the Client and the Client agrees to be bound by such execution.

4. Risk Disclosure Document:

1. The Stock Broker declares that it has brought the contents of the Risk Disclosure Document to the notice of Client and made him/her/it aware of the significance of the said document. The Client agrees that:

- a. He/She/It has read and understood the risks involved in trading on a stock exchange.
- b. He/She/It shall be wholly responsible for all his/her/its investment decisions and trades.
- c. The failure of the Client to understand the risks involved in trading on a stock exchange shall not render a contract as void or voidable and the Client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the Client chooses to trade.
- d. He/She/It is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the Stock Broker or the relevant Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the Client trades. The Stock Broker is permitted in its discretion to collect additional margins (even though not required by the relevant Exchange, clearing house / clearing corporation or SEBI) and the Client shall be obliged to pay such margins within the stipulated time.
- e. Payment of margins by the Client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the Client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

5. Refusal to Deal:

- 5.1 The Stock Broker may at its discretion disallow the Client to take further positions and/or close out existing positions under circumstances including but not limited to the following –
 - a) where the Client does not have adequate margin as required under the Rights and Obligations;
 - b) where the Client has not been able to meet his pay-in obligation in cash by the scheduled date of the pay-in, irrespective of the value of collaterals available with the Stock Broker;
 - c) cheques submitted by the Client have bounced or clear funds are not received by the Stock Broker; and
 - d) in the opinion of the Stock Broker, the Client has committed any fraud or crime or generally acted in contravention of any applicable law.
- 5.2 The Stock Broker shall have the discretion to accept or refuse (in whole or part) any buy or sell order for execution from the Client in respect of penny stocks, illiquid stocks, stocks having low liquidity, or such other stocks which the Stock Broker deems inappropriate to deal in, illiquid options/far month options/long dated options.

6. Purchase or Sale of securities:

- 6.1 The Client is responsible for paying for each transaction executed by the Stock Broker for the Client, whether by payment of the purchase price, delivery of the relevant assets, or otherwise as the relevant market requires. The Client shall ensure that all such amounts/funds/securities are free from any encumbrances or charges and the Client has a valid title to the same. All payments for securities purchased or otherwise must be made in immediately available funds to the account specified by the Stock Broker.
- 6.2 Except as agreed with the Stock Broker, the Client must make payment for any investments purchased by the Stock Broker for the Client or delivery of any securities to be sold by the Stock Broker for the Client at least one working day prior to the settlement date as required by the relevant Stock Exchange Regulations.
- 6.3 If the Client fails to make such payment or delivery of the securities in the manner described above, the Client will be responsible for all losses, expenses or other costs incurred by the Stock Broker in relation to that transaction as a result of the Client's failure, and Stock Broker shall, without prejudice to any other rights it may have, in its discretion be authorized to:
 - a. Shall not execute the transaction;
 - b. settle the transaction on behalf of the Client at the Client's expense;
 - c. in the case of a purchase transaction, sell, at the prevailing market price, sufficient of the purchased securities for which settlement is outstanding to recover the amount or any shortfall or withhold the purchased securities purchased in the Stock Broker's "Withheld Client Beneficiary Demat Account" until settlement is received from the Client;
 - d. in case of a sale transaction, withhold the payout of funds due to the Client and/or delay/cancel or close out the

contract if the Client fails to deliver to the Stock Broker the securities to be sold; and/or buy sufficient securities, at the Client's expense, at the prevailing market price, to enable the Stock Broker to complete the transaction.

7. Inadvertent processing and errors, cancellations and modifications of orders/requests:

- 7.1 In the event of an order or request being annulled by the relevant Exchange, the Stock Broker shall have the right to cancel any/all related order(s)/requests placed by the Client at the Client's cost and consequence.
- 7.2 If due to a merger, demerger, amalgamation, reorganization or other corporate action or bookkeeping or data entry error, or any other error of the Client, the Client sells more securities than he/she actually owns or different securities from what he owns, the Stock Broker shall not be responsible for any losses that the Client may incur by reason thereof. It shall be the responsibility of the Client to keep itself fully informed of any such merger, demerger, amalgamation, reorganization or other corporate actions.

8. Proprietary trades:

The Client agrees and acknowledges that:

- a. the Stock Broker may deal as principal on its own account,
- b. the Stock Broker's directors, partners or employees may deal on their own account, and the Stock Broker may either as principal or on behalf of another person may take the opposite side to the Client in a transaction.

9. Charges and Expenses:

- 9.1 The Client shall, on demand, pay or reimburse the Stock Broker all other charges and expenses arising from the execution of orders for the Client, including relevant Exchange fees and clearing house fees as may be applicable. The Client is liable to reimburse the Stock Broker for all liabilities incurred by the Stock Broker in respect of transactions entered into by the Stock Broker on the Client's behalf.
- 9.2 The Client shall, on demand, pay or reimburse the Stock Broker all other charges and expenses arising from the execution of orders for the Client, including relevant Exchange fees and clearing house fees as may be applicable. The Client is liable to reimburse the Stock Broker for all liabilities incurred by the Stock Broker in respect of transactions entered into by the Stock Broker on the Client's behalf.
- 9.3 The Client agrees to pay the stamp duty payable on the Rights and Obligations, if and applicable and on any other instruments relating to any transaction executed pursuant to the Rights and Obligations including without limitation any stamp duty payable on contract notes issued pursuant to the Rights and Obligations.
- 9.4 The Stock Broker is hereby authorized by the Client to pass on to the Client any penalty which arises on account of the Client, imposed by the relevant Exchange/SEBI and/or any other regulatory authority.

10. Deposits and Margins:

- 10.1 The Client understands that all positions taken on the relevant Exchange are subject to margin requirements which may be in the form of cash, fixed deposit receipts, bank guarantees and approved securities, as may be specified by the relevant Exchange and/or acceptable to Stock Broker. The Client therefore authorizes Stock Broker to place/pledge/utilize funds, securities or any other form of collaterals held with Stock Broker to the relevant Exchange or any Clearing corporation to meet the Client's margin requirement or the Client's obligations to Stock Broker.
- 10.2 The Client is liable to pay the initial margin upfront on or before creating a position in any securities/derivatives contracts. The Stock Broker is also permitted in its discretion to collect margins (even though not imposed by the relevant Exchange, clearing corporation or SEBI) and the Client shall be obliged to pay such margins as a condition of trading in any securities/derivatives contracts. The Stock Broker and/or the relevant Exchange shall decide upon such margins from time to time. Furthermore, the Client may be liable to pay daily margins depending on whether the price of the securities/derivatives contracts moves for or against the position undertaken. The decision of the Stock Broker with regard to the amount and time for payment of all margins shall be final and binding on the Client.

The time for payment of all types of margins is of the essence and if no time is stipulated by the Stock Broker the Client is required to meet the margin call before market opens the next day. All intra-day margin call shall be settled within the hours specified on the same day.

- 10.3 The Stock Broker shall determine the market value of the securities placed as Margin. The Client undertakes to monitor the adequacy of the collateral and the market value of such securities on a continuous basis. If due to price fluctuations, there is erosion in the value of the Margin, the Client agrees to replenish any shortfall in the value of the Margin immediately upon notification by the Stock Broker of such shortfall. The Client is required to replenish any shortfall in Margin promptly, on demand by the Stock Broker.
- 10.4 In the event that the Client fails to meet any margin call or, the value of the assets placed as margin falls below the Required Margin Percentage, the relevant Exchange and/or clearing corporation and/or Stock Broker shall be entitled, to close-out, all or some of the Client's obligations/commitments and the Client shall be responsible for all the resulting costs and consequences arising as a result of the close out. The Client authorizes the Stock Broker to withhold transfer of securities/funds to the Client's bank/beneficiary account in case the Client fails to furnish the margins as required by the Stock Broker and to hold/appropriate the securities/funds towards margin requirements. The Stock Broker may place the margins and deposits received from the Client with the relevant Exchange and/or any clearing corporation and the Client waives its right to any interest earned on the margins and deposits.
- 10.5 The Stock Broker may, in its discretion, refuse to accept a particular form of Margin from the Client. The Stock Broker shall not be obliged to return any Margin to the Client until the Client has satisfactorily discharged all its payment obligations under the Rights and Obligations. In the case where the payment by the Client towards the Margin is made through cheques or demand drafts issued in favour of the Stock Broker, all transactions may be executed by the Stock Broker only upon realization of the funds of the said cheques or at the discretion of the Stock Broker. Such securities used as Margin, which are accepted by the Stock Broker for such purposes, shall be free of any and all encumbrances. In the event that securities have been placed as Margin with the Stock Broker, all corporate benefits accruing to such securities shall form part of the Margin. In the case of discretionary corporate benefits including without limitation, rights shares, convertible shares, the Client shall inform the Stock Broker prior to the record date and replace the said securities with such other securities as may be approved and accepted by the Stock Broker at least 10 days prior to the record date or within such other period as may be acceptable to the Stock Broker. In the event that the Client fails to do so and without prejudice to any rights of the Stock Broker in relation to the securities, the Stock Broker shall be entitled to immediately cease treating such securities as Margin and, the provisions of clause 10.4 above shall apply.
- 10.6 The Stock Broker shall be entitled to appropriate and allocate Margin interse between the various segments of the relevant Exchange as the Stock Broker may deem fit and proper. All Margin placed by the Client may be invoked or utilized by the Stock Broker in such circumstances as may be permitted by the relevant Exchange and/or by Regulations, Rules, byelaws or Circulars
- 10.7 In addition to the above, all Margin may be appropriated or utilized in the event of any default by the Client.

11. Responsibility of Client:

The Client hereby undertakes to pay immediately any amount due and payable under the Rights and Obligations on being called to do so on receipt of a demand in writing from the Stock Broker. In addition, the Client shall at all times be liable for the payment on demand of any debt or negative balance whatsoever and howsoever arising on any account in pursuance of the Rights and Obligations, together with any cost or expense incurred by the Stock Broker related to the exercise of its rights under the Rights and Obligations.

12. Security:

- 12.1 Without prejudice to and in addition to any general lien, rights to set off or other similar rights which the Stock Broker may be entitled to exercise, the Stock Broker shall hold as security and subject to a general lien in favour of the Stock Broker, all money, receivables, securities, of the Client held from time to time by the Stock Broker, for the discharge of Client's obligations to the Stock Broker under the Rights and Obligations.

- 12.2 The Stock Broker shall be entitled to recover from the Client any costs incurred in enforcing the lien. The Stock Broker shall not be liable as a result of taking or refraining from taking any action in good faith in the circumstances contemplated by this Clause. In enforcing the lien and/or the right to set off, the Stock Broker shall have the discretion of determining the manner in which the securities or money or receivables or other properties of the Client are to be appropriated/liquidated.

13. Non-Binding advice:

- 13.1 The Client agrees that in the event of the Stock Broker providing any information, recommendation or advice to the Client, the Client may act upon the same at the sole risk and cost of the Client, and the Stock Broker and/or any of its employees, officials shall not be liable or responsible for the same. The Client assumes full responsibility with respect to its investment decisions and transactions, and the Stock Broker will have no liability with respect to any investment decisions or transactions or for any trading costs, losses or damages incurred by the Client.
- 13.2 The Client hereby:
- a. confirms and agrees that the Client shall not rely upon or make any investment decision based solely on research reports made available by the Stock Broker to the Client. The Client confirms and agrees that research reports are generic and are not designed for meeting specific Client objectives. Accordingly, if the Client desires to make an investment on the basis of any research report, howsoever available to them, the Client shall be bound to make appropriate inquiries with the Stock Broker as to whether the investment suits his/her investment objectives. If the Client chooses to invest on the basis of a research report without seeking specific clarifications from the Stock Broker whether the report would meet with the Client's investment objectives, the trade shall be deemed to be conducted on an execution-only basis. For the purpose of this Clause and the following Clauses, a research report shall be deemed to include any information that may be made available by the Stock Broker, its Affiliates or any of their officers, employees or agents through any medium. The Stock Broker recommends that the Client seeks independent professional advice and/or tax advice regarding the suitability of any investment decision whether based on any research reports/advice or information provided by the Stock Broker or its Affiliates;
 - b. confirms that any research material or report received, accessed or made available to the Client by the Stock Broker is for information purposes only and does not and shall not in any manner constitute a recommendation / solicitation / advice to buy or sell any of the securities or as investment advice. All such information is provided to the Client to enable the Client to make an informed investment decision; and
 - c. confirms that any decision, action or omission to buy, sell or hold securities shall be entirely at the Client's risk and shall be based solely on the Client's own verification of all the relevant facts, financials and other circumstances, a proper evaluation thereof and the Client's own investment objectives and neither the Stock Broker nor any of their employees, officers, directors, personnel, agents or representatives or Affiliates shall be responsible or held liable for the same for any reason whatsoever.

14. Short delivery of securities:

- 14.1 The Stock Broker's obligation to deliver securities to the Client or to account to the Client for the proceeds of sale of any securities is conditional on receipt by the Stock Broker of the relevant securities or sale proceeds from the relevant Exchange/dealing Corporation.
- 14.2 If the Client instructs the Stock Broker to buy securities and the internal counterparty ("Defaulting Client") from whom the securities are purchased fails to deliver all or part of the securities, the Stock Broker may, at its discretion, buy sufficient securities at the Defaulting Client's expense, to enable the Stock Broker to settle the trade for the Client.
- 14.3 The Stock Broker shall have discretion in respect of the allocation of securities received short from the relevant Exchange on the settlement day or from a Defaulting Client and the decision of the Stock Broker shall be final and binding on the Client.

15. Limitation of Liability:

- 15.1 Except to the extent it results from the Stock Broker's negligence, wilful misconduct or fraud, neither the Stock Broker, nor any Affiliate, nor their respective directors, officers, employees, agents shall in any circumstances be liable for any direct or indirect loss, cost, liability, expense or damage (including without limitation all reasonable legal fees and expenses) arising from:
- a. any act or omission in the course of or relating to the activities to which the Rights and Obligations applies;
 - b. any use of or inability to use the services provided under the Rights and Obligations;
 - c. any non-execution of any order or request due to any suspension, interruption, non-availability or malfunctioning of the relevant trading service or the relevant Exchange system(s) or service(s) for any reasons whatsoever;
 - d. any failure, interruption error, omission or delay in performance of their obligations or in the transmission/delivery of information resulting from acts, events or circumstances not within their reasonable control including but not limited to war, acts of terrorism, civil disorder, industrial disputes, natural calamities, floods, fire and other natural disasters, legal restraints, faults in the telecommunication network or internet or network failure, software or hardware errors; and/or
 - e. any variation or reduction of exposure or turnover limits by Stock Broker.
- 15.2 The Client acknowledges that trading over telephone and electronically involves any uncertain factors and complex hardware, software systems, communication lines, etc., which are susceptible to interruptions, disturbances and dislocations and the Stock Broker makes no representation or warranty that the services will be available to the Client at all times without interruption. The services are provided on an "as available" basis without warranties of any kind, either express or implied.
- 15.3 The Client acknowledges that trading over telephone and electronically involves any uncertain factors and complex hardware, software systems, communication lines, etc., which are susceptible to interruptions, disturbances and dislocations and the Stock Broker makes no representation or warranty that the services will be available to the Client at all times without interruption. The services are provided on an "as available" basis without warranties of any kind, either express or implied.

16. Compliance with Laws and Regulations:

The Client agrees to comply with all laws and regulations applicable to all transactions and services in connection with the Rights and Obligations and all services provided under the Rights and Obligations and any provisions required thereby to be included herein shall be deemed to be incorporated herein by reference. The Client acknowledges and agrees that the Client alone shall be responsible for any breach by the Client of any laws, rules and/or the Rights and Obligations and the Client shall be liable to and agrees to compensate the Stock Broker for in respect thereof at all times.

17. Recording:

The Client is aware that the Stock Broker may record the orders, instructions and other communications given or made including conversations between the Client and the Stock Broker, either personally or over the telephone, and the Client hereby specifically permits the Stock Broker to do so. Such recordings may be relied upon by the Stock Broker as and when required to resolve disputes in connection with the trading transactions.

18. Communications:

- 18.1 The Client consents to and authorizes the Stock Broker to send communications including but not limited to confirmation notices for the execution of any order/trade or failure of execution of a trade ("Trade Confirmations"), contract notes, bills, ledgers, transaction statements, margin statements, reports, letters, circulars, and other notices (each a "Communication" and together, "Communications") in physical form by mail or by fax or by any available electronic means where the Client has specified an e-mail or other electronic address in the Broking Account Registration Form or in the Rights and Obligations for broking services or as otherwise notified in writing to the Stock Broker from time to time. The Stock Broker shall be entitled to send

Communications to the Client in physical form by mail or by fax where electronic communication is not available for any reason.

- 18.2 An electronic communication to the Client shall be deemed to have been delivered when such electronic communication enters the computer resource designated by the Client. Dispatch and receipt of electronic communications shall be governed by the Information Technology Act, 2000.

19. Liquidation of disputed trades

In the event that the Client disputes any securities or derivatives transaction entered into on behalf of the Client, the Stock Broker shall be entitled to liquidate or otherwise offset the disputed position without notice to the Client.

20. Disclaimer and Liability:

- 20.1 The Client agrees that the Stock Broker shall not be liable for any losses, costs, expenses, or other damages sustained by the Client in the event of any failure or delay by the relevant Exchange, market, clearing house, bank or other depository, intermediary or institution.
- 20.2 The Stock Broker does not make any warranty with regard to and shall not accept or bear any liability incidental or consequential to the operation of any relevant Exchange system or any component thereof. The Stock Broker does not warrant or forecast that any relevant Exchange system or component thereof or any services performed in respect thereof will meet the requirements of any user, or that the operation of any relevant Exchange system will be uninterrupted or error-free, or that any services performed in respect of any relevant Exchange system will be uninterrupted or error-free. In addition, the Stock Broker shall not be responsible for:
- a. any error, negligence, fraud or misconduct of the Client or any of its employees or agents and/or relevant Exchange or clearing house;
 - b. any failure of transmission or communication facilities; or
 - c. any other cause or causes beyond the Stock Broker's control.
- 20.3 The Stock Broker shall not be liable for any indirect, consequential or exemplary damages incurred by the Client for any reason whatsoever. Every exemption from liability, defence or immunity available to the Stock Broker in law or under the Rights and Obligations shall also be available to and extend to protect the Stock Broker's employees, agents or representatives and Associates.

21. Services to be provided:

- 21.1 The Rights and Obligations primarily pertains to the services that can or may be provided by the Stock Broker from time to time acting in its capacity as a stock broker of the relevant Exchange and registered as a stock broker with SEBI.
- 21.2 Pursuant to the Rights and Obligations the Stock Broker may from time to time provide various services and products. For each of such product or service the Stock Broker may from time to time provide such additional terms and conditions for availing such products and/or services. Such additional terms shall be contained as part of the applicable product brochures and/or on the Stock Broker's website. In the event the Client desires to avail of any such specific products offered by the Stock Broker, the Client shall be bound by the additional terms and conditions applicable to such products and services. The Client shall be bound to examine the terms and conditions prior to availing such products or services. The availing of any such products or services shall imply that the Client has accepted to abide by the terms and conditions applicable to such services.
- 21.3 Pursuant to the Rights and Obligations the Stock Broker may from time to time provide to the Client information relating to trading/settlement cycles, delivery/payment schedules, and any changes therein. Such information shall be communicated by the Stock Broker to the Client in writing or email or on the Stock Broker's website. It shall be the responsibility of the Client to access his mails or the Stock Broker's website and update himself on such information.

22. Dematerialization of securities:

All orders placed by the Client with the Stock Broker to the extent that they relate to securities which are required to be traded compulsorily in the dematerialized form shall relate only to securities traded in the dematerialized form. The Client understands that all deliveries of securities made by the Stock Broker to the Client shall be in dematerialized form only, unless otherwise agreed with the Stock Broker.

23. Representations and warranties of Clients:

The Client represents warrants and undertakes on an ongoing basis that:

- a. all securities placed by the Client with the Stock Broker as Margin shall be free from all encumbrances and/or charges.
- b. the Client shall not initiate, promote or participate in any unfair or manipulative market practices.
- c. the Client has the required legal capacity to enter into the Rights and Obligations and is capable of performing, will continue to perform and will take all steps necessary to continue performing his obligations and undertakings hereunder.
- d. by entering into each transaction or making each request or order under the Rights and Obligations, the Client will not violate, any applicable laws, binding order of a court or regulatory body applicable to it or any contract or other instrument binding on it or its assets.
- e. where the Client is required to comply with any disclosure requirements or regulatory reporting obligations, the Client will provide proof of the same to the Stock Broker as reasonably required.
- f. at the time of a transfer pursuant to any order or request and provision of any Margin required under the Rights and Obligations, the Client will have the full and unqualified right and title to make such transfer or provide such Margin and upon such transfer or provision of Margin, the transferee will receive all right, title and interest in and to those investments, cash or securities, free from any other interest.
- g. the Client (if a foreign institutional investor/non-resident Indian/person of Indian origin), hereby acknowledges that he/she is aware of the RBI and other applicable guidelines in relation to his investments in the secondary market in India. The Client hereby agrees to keep abreast of the ceiling limits on investments as published by RBI from time to time and also agrees that the Client shall immediately reverse any transaction, if such transaction breaches the ceiling limits as imposed by RBI or any other applicable guidelines. If the Client does not reverse such transaction immediately, the Client authorizes and instructs the Stock Broker to do so.
- h. The Client agrees, promptly on gaining knowledge of the same, to inform the Stock Broker in writing of the details of all shares (which term, in this Clause, includes any instruments carrying voting rights) held by the Client in any listed company or corporate body in order that the purchase of shares by the Stock Broker does not attract any provisions of the SEBI (Substantial Acquisition of Shares and Takeovers) Regulations, 1997 ("Takeover Regulations"). Compliance with the provisions of the Takeover Regulations in relation to any purchases of securities shall be the Client's responsibility and the Client shall be liable to and agrees to compensate the Stock Broker for the consequences of any noncompliance thereof.

24. Corporate Benefits:

Certain securities may grant the holder thereof valuable rights that may expire unless the holder takes action. The Client shall be responsible for understanding the rights and terms of all securities in the Client's accounts and the Stock Broker shall not be obliged to notify the Client of any upcoming expiration or redemption dates, or take any other action on the Client's behalf, except as required by Applicable Laws. The Client shall also be responsible for being aware of reorganizations and any other corporate actions related to the securities which the Client holds including, but not limited to, stock splits, dividends, rights and bonus issues. Further, the Stock Broker shall not be responsible for exercising any such rights.



25. Dormant account procedure:

If there is no activity in the Client's account for a period of 12 months or such other period as Elara may notify, then Elara

will classify the Client's account as an inactive account. If the Client wishes to reactivate an inactive account, the client must contact Elara, Elara may then reactivate the account after conducting such additional checks as it considers appropriate. If a Client's account is inactive for a period of 60 months or such other period as we may notify from time to time, then Elara will classify the Client's account as a dormant account and notify the Client accordingly. If the Client does not respond to such notification, then Elara may close the dormant account after giving due notice and shall return any surplus assets in such dormant account to the Client. The Client shall co-operate with Elara and provide additional details or documents as Elara may require to consider reactivating the inactive or dormant account, as the case may be.

26. General provisions:

- a. Governing law and jurisdiction. The Rights and Obligations shall be governed by the laws of India in respect of any dispute under the Rights and Obligations.
- b. Severability. Each of the provisions in the Rights and Obligations is severable and distinct from the others and if at any time one or more of such provisions is or becomes invalid or unenforceable, the validity, legality and enforceability of the remaining provisions hereof shall not in any way be affected or impaired thereby.
- c. Access to information. The Client authorizes the Stock Broker to conduct at any time a credit enquiry or check on the Client for the purpose of ascertaining the financial situation and investment objectives of the Client.
- d. Further documents. The Client shall from time to time upon the request of the Stock Broker promptly and duly execute and deliver any and all such further instruments and documents as the Stock Broker may deem desirable for the purpose of obtaining the full benefit of the Rights and Obligations and of the rights and powers granted under it.
- e. Waiver. In the course of dealing between Client and Stock Broker, any delay on the part of Stock Broker in exercising any rights/obligations hereunder or under any contract resulting here from shall not operate as a waiver of any of the Stock Broker's rights and obligations, except expressly waived in writing by Stock Broker.
- f. Headings. The headings and subtitles are for convenience only and shall not affect the interpretation of any of the provisions of the Rights and Obligations.
- g. Representation by signatories. Each signatory to the Rights and Obligations represents and warrants that he is duly authorized by the party for and on whose behalf he is signing the Rights and Obligations to execute the same in a manner binding upon the said party and that all corporate approvals and procedures necessary for vesting such authority in him have been duly obtained and complied with.
- h. Harmonious Interpretation. The terms and conditions in the Rights and Obligations shall be harmoniously interpreted with all applicable laws and regulations.

| Name of client | Name & Title of Authorized Signatory (for non-individuals) | Signature of the Client |
|----------------|--|---|
| | |  |
| | |  |

The Client has read and understood the Additional Rights and Obligations and accepts its provisions.

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] Annexure 2.4

Definitions:

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

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

Availability:

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
- 6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. 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 warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

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

BOID

| | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|--|--|--|--|--|--|--|--|--|--|
| 1 | 2 | 0 | 8 | 5 | 9 | 0 | 0 | | | | | | | | | | |
|---|---|---|---|---|---|---|---|--|--|--|--|--|--|--|--|--|--|

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

| | First Holder | Second Holder | Third Holder |
|------|--------------|---------------|--------------|
| Name | | | |




Mobile Number on which messages are to be sent

| | | | | | | | | | | | |
|-----|--|--|--|--|--|--|--|--|--|--|--|
| +91 | | | | | | | | | | | |
|-----|--|--|--|--|--|--|--|--|--|--|--|

The mobile number is registered in the name of:

Email ID:

(Please write only ONE valid email ID on which communication; if any, is to be sent)

| | First Holder | Second Holder | Third Holder |
|-----------|---|--|---|
| NAME | | | |
| SIGNATURE |  |  |  |

Place: _____

Date:- _____

TERMS AND CONDITIONS FOR AVAILING TRANSACTION USING SECURED TEXTING (TRUST) SERVICE OFFERED BY CDSL

(Annexure- 2.6)

1. Definitions:

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

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
 - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered/ shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify forth is type of service would be informed by CDSL from time to time.
 - v. "Third Party" means the operators with whom the Service Provider is having/ will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his/ her request and at the discretion of the depository provided the BO has registered forth is facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
 5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP/ CDSL will not be held liable for acting on SMS so received.
 6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
 7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
 8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
 9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed/ made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP .
 10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.

11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non-receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
12. The BO may request for de registration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. Indemnity:
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. Disclaimer:
Depository shall be absolved of any liability in case:-
 - a) There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
 - b) There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

Authorisation for Repledge of Shares/ Securities as Collateral

To,
Elara Securities (India) Private Limited
One International Center, Tower 3,
21st Floor, Senapati Bapat Marg,
Elphinstone Road West,
Mumbai - 400013

Sub: Authorisation for Repledge of Shares/ Securities as collateral with Exchange(s)/Clearing Corporation(s)
/ Clearing Member(s) for any/all segment(s) towards Margin Requirement


Dear Sir/Madam,

In respect of the Securities owned by me/us, I/we declare and assure that the said Securities (shall mean all the securities lying in my/our Depository Account No. _____ (hereinafter referred to as "Account") with the custodian/depository participant and shall include all securities given as Margin Pledge in addition, substitution or replacement of the securities in the said Account) are given by me/us to the Clearing Member/ Trading Member may Repledge the same with Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) as collateral for which I/we hereby authorise you to Repledge the said Share(s)/Securities with Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) as collateral.

I/We hereby confirm that:

- i) the Said Securities are in existence, owned by me/us and are and shall be free from any charge, lien or encumbrance, whether prior or otherwise.
- ii) the Said Securities will be subject to the creation of Margin Repledge in favour of Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) and further that the Securities over which Repledge may be created in future would be in existence and owned by me/us at the time of creation of such pledge and that my/our said Securities to be given in future as security would likewise be unencumbered, absolute and disposable property.
- iii) the Trading member/ Clearing Member is authorized to do all such acts and things, sign documents and pay and incur any applicable cost, debts and expenses as may be necessary under the Deed of Pledge and the same shall be subject to the terms and conditions as contained therein
- iv) the Said Securities shall be subject to the first priority and lien in favour of Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) to secure obligations and that the rights or interests with respect to the Said Securities shall be subject and subordinate to the rights, claims and interests of Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) in respect of the Said Securities.

- v) Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s) in which said securities are pledged, may invoke the pledge without any reference to me/us or my/our permission and upon receipt of the Said Securities may utilize the proceeds in meeting obligations in such manner as it may deem fit and that such invocation of pledge will be final and irrevocable against the Clearing Member and me/us.
- vi) I/We shall not make any claims or demands for refund or any reimbursement in relation to the Said Securities from Exchange(s)/ Clearing Corporation(s)/ Clearing Member(s) for any/all Segment(s).

| | |
|-------------------------|---|
| Name of the client | |
| Trading Code | |
| Signature of the client |  |

Intentionally left blank

OPTION FORM FOR ISSUE OF DIS BOOKLET

DATE: - _____

| | | | | | | | | | | | | | | | | | |
|---------------------------------|---|---|---|---|---|---|---|---|-----------|--|--|--|--|--|--|--|--|
| DP ID | 1 | 2 | 0 | 8 | 5 | 9 | 0 | 0 | Client ID | | | | | | | | |
| Name of the Sole / First Holder | | | | | | | | | | | | | | | | | |
| Name of Second Joint Holder | | | | | | | | | | | | | | | | | |
| Name of Third Joint Holder | | | | | | | | | | | | | | | | | |

To,

Elara Securities (India) Private Limited

One International Center, Tower 3,
21st Floor, Senapati Bapat Marg,
Elphinstone Road, Mumbai - 400 013

Dear Sir / Madam,

I / We hereby state that:

☐ **OPTION 1.**

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

Yours faithfully

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

OR

☐ **OPTION 2.**

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

Yours faithfully

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

===== (Please Tear Here) =====

Acknowledgment Receipt

Received OPTION FORM FOR ISSUE / NON ISSUE OF DISBOOKLET from:

| | | | | | | | | | | | | | | | | | |
|---------------------------------|---|---|---|---|---|---|---|---|-----------|--|--|--|--|--|--|--|--|
| DP ID | 1 | 2 | 0 | 8 | 5 | 9 | 0 | 0 | Client ID | | | | | | | | |
| Name of the Sole / First Holder | | | | | | | | | | | | | | | | | |
| Name of Second Joint Holder | | | | | | | | | | | | | | | | | |
| Name of Third Joint Holder | | | | | | | | | | | | | | | | | |

For Elara Securities (India) Private Limited**(Authorised Signatory)**

Intentionally left blank

POA / DDPI to be signed by all the members of HUF [Applicable in case of HUF Client]

To,
 Elara Securities (India) Private Limited
 One International Center, Tower 3, 21st Floor,
 Senapati Bapat Marg, Elphinstone Road (West)
 Mumbai – 400 013, India

Dear Sir/ Madam,

1) I _____ (Name of Karta) hereby declare that I am the karta of the HUF _____ (Name of HUF) and following persons are Co-Parceners of this HUF.

2) We all the below mentioned coparceners declare that we are the only members of Joint Hindu Undivided Family (HUF) named _____

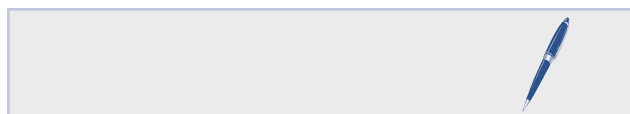
Details of our HUF and all its Co Parceners are stated as under

List of co parceners

| Sr. No | Name | DOB | Relationship with the Karta | Signature |
|--------|------|-----|-----------------------------|-----------|
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |
| 4 | | | | |

To be signed by all members including female members

Signature & Stamp of Karta alongwith stamp of HUF:



Non Debarred Declaration

To,
Elara Securities (India) Private Limited
One International Center, Tower 3,
21st Floor, Senapati Bapat Marg,
Elphinstone Road (West),
Mumbai – 400013.

Subject:- Non Debarred Declaration

Dear Sir/Madam,

I/ We hereby declare and confirm that I have not been prohibited / debarred from dealing in securities and no penalty has been imposed on me for violation of security laws/ other economic offences by SEBI or any other regulation authority.

I / We further declare that no penalty proceedings are pending against me. I / We hereby undertake to notify you forthwith of any changes in this regard immediately in writing and shall not do anything in violation of such orders, if any at a later date.

I / We also hereby agree to indemnify ESPL and their successors or assigns, if any of declarations made hereunder by me/ us is incorrect, false or misleading in any of its particulars.

I / We hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and in case any of the above information is found to be false or untrue or misleading or misrepresenting or suppression of any material fact will render my account liable for termination and further action.

Regards.

Client Name: _____

PAN No: - _____

Authorised Person Signature and Company Stamp: _____

Client Address: _____

Self-Declaration with reference to Name in PAN and other documents - HINDU UNDIVIDED FAMILY (HUF)

To,
 Elara Securities (India) Private Limited
 One International Center, Tower 3,
 21st Floor, Senapati Bapat Marg, Elphinstone Road West,
 Mumbai – 400013

I _____ (Name of Karta) hereby declare that I am the Karta of the HUF _____ (Name of HUF) having PAN No. _____.

I have submitted the Account Opening form for opening Trading & Demat Account with Elara Securities (India) Private Limited (ESPL) in the name of _____.

I understand there is a mismatch between my actual name (for which I have given relevant documents).

Further, I do hereby confirm as under:

| | |
|------------------------------------|--|
| Name as per the PAN Card | |
| Name as per the Income Tax Website | |
| Name as per the BANK Proof | |

i. That the above-mentioned names on the PAN card, address Proof and Income Tax Website are mine.

ii. I hereby request ESPL to open a Trading & Demat Account as per the name appearing on the Income Tax Website.

iii. I hereby declare that I will be solely responsible for any consequences arising out of the difference in my name in my PAN, Income tax website and other supporting documents provided by me at the time of opening the account and shall reimburse ESPL, any levies, penalties, losses or any other sum of whatsoever nature incurred by ESPL due to accepting this letter and/or acting on this basis.

iv. I will defend ESPL, its directors, officers and employees from and against any claims, liabilities, obligations, damages, deficiencies, judgments, actions, suits or proceedings on accepting this letter and/or acting on this basis.

Regards,

Client Signature: _____

(Kindly affix the HUF Stamp)

DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI) IN FAVOUR OF ELARA SECURITIES (INDIA) PRIVATE LIMITED - VOLUNTARY

I / We _____
 _____ (Sole/First Holder)
 Jointly with _____ (Second Holder)
 And _____ (Third Holder)
 Residing / registered office/place of business at _____

_____ hold Beneficial
 Owner Account number (BO ID) 12085900 _____ with Central Depository Services (India) Limited (CDSL), through Elara Securities (India) Private Limited a Depository Participant registered with Securities and Exchange Board of India (SEBI) bearing DP ID. 12085900. And Whereas I/ We am/ are desirous to buy and sell securities through Elara Securities (India) Private Limited, a stock broker registered with SEBI and a member of recognized Stock Exchange/s (National Stock Exchange of India Limited and BSE Ltd) bearing SEBI single registration number INZ000238236 and are also registered with Association of Mutual Funds in India (AMFI) as Mutual Fund Distributor having Registration no. ARN69444.

Whereas I/we authorize Elara Securities (India) Private Limited to operate my / our Beneficial Owner Account in a manner hereinafter appearing and subject to conditions as provided herein. Whereas I/We hereby am/are fully aware and understand that this DDPI is voluntary and I/we have been fully made aware of the explicit authority consented by me/us under this executed document.

I / We do hereby authorize Elara Securities (India) Private Limited (hereinafter referred to as the "Stock Broker / Stock Broker and Depository Participant") acting through any of its directors and/or its duly authorized officers to perform the above functions on my/our behalf:

Demat Debit and Pledge Instruction

| Sr. No | Purpose | Signature of the Client* |
|--------|---|-------------------------------|
| 1 | Transfer of securities held in my / our beneficial owner accounts towards Stock Exchange related deliveries/settlement obligations arising out of trades executed by me/us on the National Stock Exchange of India Ltd (NSE) or BSE Ltd (Bombay Stock Exchange) through Elara Securities (India) Private Limited. | _____ First Holder |
| | | _____ Second Holder |
| | | _____ Third Holder |

| | | |
|---|---|----------------------|
| 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 me/us on the National Stock Exchange of India Ltd (NSE) or BSE Ltd (Bombay Stock Exchange) through Elara Securities (India) Private Limited. | |
| | | First Holder |
| | | Second Holder |
| | | Third Holder |

*The same may be eSigned or signed physically

The DP Account numbers of Elara Securities (India) Private Limited for the purpose of the above Instructions/authorization:

| Sr. No | ACCOUNT HOLDER | DEMAT ACCOUNT NO | CM BP ID | CM ID | DP Name | PURPOSE |
|--------|--|----------------------|----------|--------|--|---|
| 1 | Elara Securities (India) Private Limited | IN300126 11216386 | IN514494 | M51449 | HDFC BANK | NSE NSDL POOL A/C |
| 2 | Elara Securities (India) Private Limited | IN300126 11220212 | IN632418 | 3241 | HDFC BANK | BSE NSDL POOL A/C |
| 3 | Elara Securities (India) Private Limited | 13012400 00117903 | - | M51449 | HDFC BANK | NSE CDSL POOL A/C |
| 4 | Elara Securities (India) Private Limited | 13012400 00119782 | - | 3241 | HDFC BANK | BSE CDSL PRINCIPAL A/C |
| 5 | Elara Securities (India) Private Limited | 13012400 00119778 | - | 3241 | HDFC BANK | BSE CDSL POOL A/C |
| 6 | Elara Securities (India) Private Limited | 11000011 00017062 | - | M51449 | National Securities Clearing Corporation Ltd | NSE CDSL-EARLY PAYIN A/C |
| 7 | Elara Securities (India) Private Limited | 12085900 00001696 | - | M51449 | Elara Securities (India) Private Limited | TM/CM CLIENT SECURITIES MARGIN PLEDGE ACCOUNT |

I/We further agree and confirm that the authorities conferred under this DDPI shall continue until it is revoked (without notice) / cancelled in writing by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by any person authorised in this regard by the Stock Broker in its office at, One International Center, Tower 3, 21st Floor, Senapati Bapat Marg, Elphinstone Road West, Mumbai - 400 013. However, such revocation shall not be applicable for any outstanding settlement

obligation of funds/ securities arising out of the trades carried prior to receiving the request for revocation of this DDPI.

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

Dated at Mumbai _____ day of _____ 20_____.

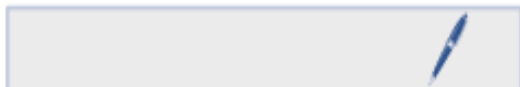
| | First / Sole Holder | Second Holder | Third Holder |
|-----------|---------------------|---------------|--------------|
| Name | | | |
| Signature | | | |

Note: - DDPI to be signed by all the members (Karta and Co Parceners) of HUF
Kindly affix the company seal / HUF stamp in case of non-individual clients

| | Witness 1 | Witness 2 |
|-----------|-----------|-----------|
| Name | | |
| Address | | |
| Signature | | |

We hereby agree to execute instructions in terms of the clauses mentioned hereinabove.

For **Elara Securities (India) Private Limited**



Director / Authorised Signatory

Date: _____

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To,
 Elara Securities (India) Private Limited
 One International Center, Tower 3, 21st Floor
 Senapati Bapat Marg, Elphinstone Road (West)
 Mumbai - 400013

Dear Sir/Madam,

Sub: Acknowledgement of receipt of KYC documents

Trading / Demat

I/We hereby acknowledge the receipt of a copy of executed Client Registration Form including KYC details, Tariff sheet, Policies & Procedures, Standard Documents (i.e. Rights & Obligation Document, Risk Disclosure Document, Guidance Note- Dos and Dents.) as prescribed by SEBI, Exchanges and Depositories.

| | First / Sole Holder | Second Holder | Third Holder |
|-----------------------|---|--|---|
| Applicant Name | | | |
| SIGNATURE |  |  |  |

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| For Office Use Only | | |
|---|---------------------------|------------------|
| | Relationship Manager (RM) | Back Office (BO) |
| Trading Account | | |
| All KYC details are properly filled in: | | |
| E-mail id and mobile number are provided | | |
| Proof of identity and Proof of address are ticked and are as per proof provided | | |
| Other details are properly filled in like; | | |
| Trading Related details are properly filled in | | |
| Bank Account details are provided including MICR code and IFSC code with Branch of Bank | | |
| Trading preferences are signed by the client | | |
| Gross annual income or Networth certificate details are provided | | |
| Witness details are properly filled in case of Nomination is made by applicant | | |
| Other details are properly filled in like; | | |
| Rights and Obligations, Risk Disclosure Document and Do's and Don'ts are handed over to client | | |
| Tariff sheet has been properly filled in | | |
| FATCA and CRS declaration - Signed and date is specified | | |
| Client has opted preference i.e., Quarterly or Monthly in case of Running Account Authorisation and Date is mentioned | | |
| Client has signed following Documents: | | |
| KYC Application form- Date and Place in mentioned | | |
| Declaration forming part of Trading account related details-Date and Place in mentioned | | |
| Tariff sheet | | |
| Voluntary Documents | | |
| Authority to Retain funds/ securities as running account | | |
| Common Mobile number and E-mail id for trading account (Applicable for Family Members) | | |
| Demat Account | | |
| DP Account details are properly filled in | | |
| E-mail id and mobile number are provided | | |
| Bank Account details are provided including MICR code and IFSC code with Branch of Bank | | |
| Gross annual income or Networth certificate details are provided | | |
| Witness details are properly filled in case of Nomination is made by applicant | | |
| KYC has been done for all Joint Holders - in case of joint holders | | |
| All the Holders have signed following documents | | |
| Tariff Sheet | | |
| Nomination Form - In case Nomination is made by the applicant | | |
| Rights and Obligation of Beneficial Owner and Depository participant as prescribed by SEBI and Depositories | | |
| Terms and Conditions -cum- registration /Modification form for receiving SMS alerts from CDSL - Mobile | | |
| Mobile number and E-mail id are provided along with name of person whose mobile number is mentioned | | |
| Power of Attorney- witness details are provided | | |
| Issue of DIS booklet - Date is mentioned | | |
| HUF Declaration - For HUF's | | |
| General notes: | | |
| All documents are self attested by the Applicant | | |
| In- person verification stamp should be affixed on all the proofs submitted by applicant | | |
| Details mentioned on KYC form and Document verified with originals and IPV done by the person should match | | |
| Date and Name mentioned on KYC Form in Document verified with Originals and IPV done by person should match with details mentioned on IPV stamp affixed on proofs submitted by the client | | |
| I hereby attest that all the above points are checked by me and found proper and hence forwarding for further processing | | |
| Name of the Client: | Signature of RM | Signature of BO |
| PAN of the Client: | | |
| Branch: | Name of RM | Name of BO |

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ELARA SECURITIES (INDIA) PRIVATE LIMITED

(CIN: U74992MH2007PTC172297)

One International Center, Tower 3, 21st Floor, Senapati Bapat Marg,
Elphinstone Road West, Mumbai 400 013

Tel: (91-22) 61648500, Fax: (91-22) 61648589

Member: BSE (Cash), NSE (Cash and F&O) SEBI Regn. No. BSE (Cash): INB011289833,
NSE (Cash): INB231289837, NSE (F&O): INF231289837 Research Analyst SEBI Regn No: INH 000000933
Depository: CDSL SEBI Regn No: IN-DP-370-2018 (DP ID: 12085900)