

Form No. :

Client Code :

Branch Code :

DP ID :

CLIENT ENROLLMENT FORM

PRODUCTS

- EQUITY / F&O / CURRENCY / MF / SLB
- COMMODITY (MCX / NCDEX / NSE / BSE)
- DP-CDSL

DP Annual Maintenance Charges (Tick any one) (view chargesheet for your plan)

- GREAT
- LIFE TIME FREE AMC (F1)
- LIFE TIME FREE AMC (DEPO_3K)
- LIFE TIME FREE AMC (F2)
- BSDA

ONLINE

WEB EXE

Visit us at
www.rathi.com

For Assistance :
1-800 420-1004 / 1-800 121 - 1003
0291-666-1001

(Local call charges)

Anand Rathi Share and Stock Brokers Ltd.

Form No. :

Acknowledgment (Office Copy)

Date :

BSE & NSE	COMMODITY	OTHERS
<input type="checkbox"/> Cash	<input type="checkbox"/> MCX	<input type="checkbox"/> DP
<input type="checkbox"/> F&O	<input type="checkbox"/> NCDEX	
<input type="checkbox"/> Currency Derivatives	<input type="checkbox"/> BSE	
<input type="checkbox"/> MTF	<input type="checkbox"/> NSE	

Account opening cheque details

Amount _____ Chq. No. _____ Bank Name _____ Date _____

Margin Cheque Details

Amount _____ Chq. No. _____ Bank Name _____ Date _____

Executive Name _____ Executive Signature _____

I have read and understood all the clause of Right and Obligation (Trading and DP), Risk Disclosure Document (RDD), Guidance Note detailing DO's and Don'ts for Trading, Policies and Procedure.

Further I/We, wish to receive the above mentioned documents by:

Electronic mode OR Physical Mode

I/We acknowledge the receipt of copy of executed client registration form, tariff sheet, Right and Obligation (Trading and DP), Risk Disclosure Document (RDD), Guidance Note detailing DO's and Don'ts for Trading, Policies and Procedure.

Client Signature _____**Anand Rathi Share and Stock Brokers Ltd.**

Form No. :

Acknowledgment (Client Copy)

Date :

BSE & NSE	COMMODITY	OTHERS
<input type="checkbox"/> Cash	<input type="checkbox"/> MCX	<input type="checkbox"/> DP
<input type="checkbox"/> F&O	<input type="checkbox"/> NCDEX	
<input type="checkbox"/> Currency Derivatives	<input type="checkbox"/> BSE	
<input type="checkbox"/> MTF	<input type="checkbox"/> NSE	

Account opening cheque details

Amount _____ Chq. No. _____ Bank Name _____ Date _____

Margin Cheque Details

Amount _____ Chq. No. _____ Bank Name _____ Date _____

Executive Name _____ Executive Signature _____

Registered Office :

Express Zone, A Wing, 10th Floor, Western Express Highway,
Goregaon (East), Mumbai - 400 063, Maharashtra.
Tel. : 022- 6281 7000
Website : www.rathi.com

Processing Office :

Plot No. CYB-2, Cyber Park, Heavy Industrial Area,
Near Saras Dairy, Jodhpur - 342 003.
Tel.: +91 291 2709100 / 7117001

CEO :

Mr. Roop Bhootra
E-mail : roopbhootra@rathi.com
Contact : 022-6281 7000

Compliance Officer :

Mr. Deepak Kedia
E-mail : deepakkedia@rathi.com
Contact : 022-6281 7000

For any grievance/dispute please contact Anand Rathi Share and Stock Brokers Ltd. at the above address or email id grievance@rathi.com and phone no. 022-6281 7000. In case not satisfied with the response, please contact the concern exchange(s) at :

Exchange	E-mail ID	Telephone No.
BSE	is@bseindia.com	022-2272 8097
NSE	ignse@nse.co.in	1800220058
CDSL	complaints@cdslindia.com	022-2305 8658
MCX	grievance@mcxindia.com	022-6649 4000
NCDEX	askus@ncdex.com	022-6640 6789
ICEX	grivevance@icexindia.com	022-4038 1546
SEBI Website : http://scores.gov.in • Toll Free : 1800227575		

Member of : (BSE-0949 | NSE-06769 | MCX-56185 | NCDEX-1252 | ICEX-2088)

SEBI Single Registration No. & Date :- INZ000170832 - 23/03/2018

Depository Participant of Central Depository Services (I) Ltd. (CDSL)

SEBI Registration No. & Date :- IN-DP-437-2019-12/03/1999

Mutual Fund Distributor :- AMFI Registration No. 4478

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11.	Risks Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market and commodities segment.	
12.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
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INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (FOR EQUITY & COMMODITY)

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, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FIEB/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. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted along with other statutory approvals required for investment in commodities.#
11. 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.*
12. 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.

PROOF OF BANK ACCOUNT (Any one of the following)

1. Cancelled cheque leaf (bearing pre-printed name of the client)
2. Self attested copy of Bank Passport bearing name and address of client.
3. Self attested copy of Bank Statement bearing pre-printed name and address of the client with transaction not more than four months old.

Note:

- In case of Bank Statement / Bank Passbook, it should be with proper Bank logo or to be certified by the Bank and bearing address of the client and MICR code of the branch.
- Age Proof to be submitted in case nominee of the demat account is a minor.
- All copies to be self attested by client and all joint holders

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, FVCI, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.*

E. List of people authorized to attest the documents:

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

**F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:
(Applicable for Equity & Commodity)**

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 / commodity market. • Authorised signatories list with specimen signatures. • Copy of Board Resolution or Declaration (on the letter head) having the person authorised to deal in securities / commodity on behalf of company / firm / others and their specimen signature.
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). • Authorised signatories list with specimen signatures. • Copy of partnership deed. • 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). • List of trustees certified by managing trustees/CA. • Copy of Trust deed. • Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> • PAN of HUF • Bank pass-book/bank statement in the name of HUF. • Deed of declaration of HUF/ List of coparceners. • 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*	<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 Specified 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.

• Please note that we Brokers are undertaking proprietary arbitrage as well as Investment Business in our own account in addition to client base business.

* Applicable for equity. # Applicable for commodity.

INSTRUCTIONS/CHECK LIST

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 individuals:

- Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-Broker's office.
- In case of non-resident clients, employees at the stock broker's local office, overseas can do 'in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker Indian Embassy / Consulate General in the country where the client resides may be permitted.

5. For non-individuals:

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

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

(To be filled by financial institution)

Application Type*

New Update

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)

Status (please tick (✓) the appropriate)

- Private Limited Co. Public Ltd. Co. Body Corporate Partnership Trust
- Charities NGO's FI FII HUF
- AOP Bank Government Body Non-Government Organization Defense Establishment
- BOI Society LLP FPI-Category I FPI - Category II
- FPI-Category III Others (Please specify)

Date of Incorporation / Formation* DD - MM - YY YY YY YY Date of Commencement of Business DD - MM - YY YY

Place of Incorporation / Formation* Country of Incorporation / Formation* TIN or Equivalent Issuing Country

PAN Form 60 furnished Registration No. (e.g. CIN)

TIN / GST Registration No.

2. PROOF OF IDENTITY (PoI)* (Please refer instruction B at the end)

- Officially valid document(s) in receipt of person authorised to transact
- Certificate of Incorporation / Formation Registration 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. PROOF OF ADDRESS (Please refer instruction C at the end)

3.1 Registered Office Address / Place of business / Correspondence Address

Proof of Address* Certificate of Incorporation / Formation Registration Certificate Other Document

Line 1*

Line 2

Line 3 City / Town / Village

District* Pin / Post Code* State Country

3.2 Local Address in the India (if different from Above)* / Permanent Address

Line 1*

Line 2

Line 3 City / Town / Village

District* Pin / Post Code* State Country

A Certification / Guidelines for filing Entity Dealers Section

1 Entity Constitution Type

A - Sole Proprietorship	H - Trust	O - Artificial Jurisdictional Person
B - Partnership Firm	I - Liquidator	P - International Organisation or Agency / Foreign Embassy or Consular Office etc.
C - HUF	J - Limited Liability Partnership	Q - Not Categorized
D - Private Limited Company	K - Artificial Liability Partnership	R - Others
E - Public Limited Company	L - Public Sector Bank	S - Foreign Portfolio Investors
F - Society	M - Central / State Government Department or Agency	
G - Association of Person (AOP) / Body of Individuals (BOI)	N - Section 8 Companies (Companies Act, 2013)	

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 Aadhar 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 Aadhar related data and documents such as proof of possession of Aadhar, while uploading on CKYCR.

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

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 in 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

(To be filled by financial institution)

Application Type*

New Update

KYC Number

(Mandatory for KYC update 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="checkbox"/> Form 60 furnished		

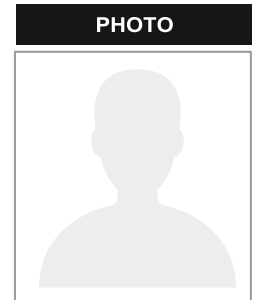
1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

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 Aadhar
- II E - E-KYC Authentication
- III F - Offline verification of Aadhaar

F4

Signature / Thumb Impression of Applicant



Address

Line 1*

Line 2

Line 3 City / Town / Village

District* Pin / Post Code* State Country

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 Aadhar
- II E - E-KYC Authentication
- III F - Offline verification of Aadhaar
- IV Deemed PoA
- V Self Declaration

Address

Line 1*

Line 2

Line 3 City / Town / Village

District* Pin / Post Code* State Country

1.4 (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 hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.
- I/We hereby declare and give consent to download my/our KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my/our identity and address from the database of CKYCR Registry. I/we understand that KYC Record includes my/our KYC Records /Personal information such as name, address, date of birth, PAN number etc.

Date :

Place :

F5 

Signature / Thumb Impression of Applicant

8. ATTESTATION / FOR OFFICE USE ONLY

Document Received Certified Copies E-KYC data received from UIDAI Data received from Offline verification
 Digital KYC Process Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name: **Anand Rathi Share & Stock Brokers Limited**

Code: **I N 0 1 9 9**

[Institution Stamp]

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

1. Passport / Voters Identity Card / Ration Card / Registered Lease or Sale

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

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinationa 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 FI/sub account, Power of Attorney given by FI/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

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 uptoRs 50,000/-p.a.
5. In case of institutional clients, namely, FIs, Mfs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

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 • 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 • Authorised 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 (FI)	<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"> • Serf-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

**Details of Promoters/ Partners/ Karta / Trustees / Co-parceners and whole time directors forming a part of Know Your Client (KYC)
Application Form for Non-Individuals**

1. Name <input style="width:95%;" type="text"/> 2. Relationship with Applicant (i.e. promoters, whole time directors etc) <input style="width:95%;" type="text"/> 3a. PAN <input style="width:30%;" type="text"/> 3b. DIN <input style="width:30%;" type="text"/> 3c. Aadhar (UID) Number XXXXXXXXXX <input style="width:10%;" type="text"/> 4. Residence / Registered Address <input style="width:95%;" type="text"/> City/town/village. <input style="width:50%;" type="text"/> Pin Code: <input style="width:20%;" type="text"/> State: <input style="width:30%;" type="text"/> Country: <input style="width:20%;" type="text"/>	PHOTOGRAPH Please affix your recent passport size Photograph and sign across it
--	--

1. Name <input style="width:95%;" type="text"/> 2. Relationship with Applicant (i.e. promoters, whole time directors etc) <input style="width:95%;" type="text"/> 3a. PAN <input style="width:30%;" type="text"/> 3b. DIN <input style="width:30%;" type="text"/> 3c. Aadhar (UID) Number XXXXXXXXXX <input style="width:10%;" type="text"/> 4. Residence / Registered Address <input style="width:95%;" type="text"/> City/town/village. <input style="width:50%;" type="text"/> Pin Code: <input style="width:20%;" type="text"/> State: <input style="width:30%;" type="text"/> Country: <input style="width:20%;" type="text"/>	PHOTOGRAPH Please affix your recent passport size Photograph and sign across it
--	--

1. Name <input style="width:95%;" type="text"/> 2. Relationship with Applicant (i.e. promoters, whole time directors etc) <input style="width:95%;" type="text"/> 3a. PAN <input style="width:30%;" type="text"/> 3b. DIN <input style="width:30%;" type="text"/> 3c. Aadhar (UID) Number XXXXXXXXXX <input style="width:10%;" type="text"/> 4. Residence / Registered Address <input style="width:95%;" type="text"/> City/town/village. <input style="width:50%;" type="text"/> Pin Code: <input style="width:20%;" type="text"/> State: <input style="width:30%;" type="text"/> Country: <input style="width:20%;" type="text"/>	PHOTOGRAPH Please affix your recent passport size Photograph and sign across it
--	--

1. Name <input style="width:95%;" type="text"/> 2. Relationship with Applicant (i.e. promoters, whole time directors etc) <input style="width:95%;" type="text"/> 3a. PAN <input style="width:30%;" type="text"/> 3b. DIN <input style="width:30%;" type="text"/> 3c. Aadhar (UID) Number XXXXXXXXXX <input style="width:10%;" type="text"/> 4. Residence / Registered Address <input style="width:95%;" type="text"/> City/town/village. <input style="width:50%;" type="text"/> Pin Code: <input style="width:20%;" type="text"/> State: <input style="width:30%;" type="text"/> Country: <input style="width:20%;" type="text"/>	PHOTOGRAPH Please affix your recent passport size Photograph and sign across it
--	--

AS3

Name & Signature of the Authorised Signatory(ies)

Date / /

HUF DECLARATION FORM

Mr./Mrs./Ms. _____

the Karta of Hindu Undivided Family, here by declare that the following are the co-parcener/member of my family.

Sr. No.	Particulars	Name	Date of Birth	Relationship
1	Karta			
2	Co-Parcener/member2			
3	Co-Parcener/member3			
4	Co-Parcener/member4			
5	Co-Parcener/member5			
6	Co-Parcener/member6			
7	Co-Parcener/member7			
8	Co-Parcener/member8			
9	Co-Parcener/member9			
10	Co-Parcener/member10			
11	Co-Parcener/member11			
12	Co-Parcener/member12			

Signed & HUF Stamp

Name : _____

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COMMON DETAILS FOR INDIVIDUAL / NON-INDIVIDUAL

(Trading & DP Account Related Details)

A. BANK ACCOUNT(S) DETAILS OF SOLE / FIRST HOLDER

Bank Name

Branch Name

Branch Address

Bank A/c. No.

A/c. Type Savings Current NRE/NRO Others _____

MICR Number IFSC Code

P.N. : In case of NRI's, Bank Account should be Repatriable Bank Account for NRE or Non Repatriable Bank Account for NRO.

ADDITIONAL BANK ACCOUNT(S) DETAILS OF SOLE / FIRST HOLDER

Bank Name

Branch Name

Branch Address

Bank A/c. No.

A/c. Type Savings Current NRE/NRO Others _____

MICR Number IFSC Code

P.N. : In case of NRI's, Bank Account should be Repatriable Bank Account for NRE or Non Repatriable Bank Account for NRO.

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name

Depository Name NSDL CDSL

DP ID Beneficiary ID (BO ID)

First Holder Name

Second Holders Name

Third Holders Name

C. OTHER DETAILS (please see guidelines overleaf) - For Individual

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

OR

Net-worth in ₹. _____ (*Net worth should not be older than 1 year) as on (date) / /

2. **Occupation** (Please tick (✓) any one and give brief details):

- Private Sector Service Public Sector Government Service Business Professional Agriculturist Retired
- Housewife Student Forex Dealer Others (Please specify) _____

D. OTHER DETAILS (please see guidelines overleaf) - For Non Individual

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

Net-worth in ₹. (*Net worth should not be older than 1 year) _____ as on (date) | d | d | / | m | m | / | y | y | y | y |

2. Any other information: _____

E. PEP DETAILS

Any other information: _____

Please tick, if applicable: Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP) None

F. GOODS & SERVICE TAX:

Goods & Service Tax as per Government Notification

G. TRADING PREFERENCES

Please sign the relevant boxes where you wish to Trade

Segments	Signature	Segments	Signature
All Segments except commodity	F6		
Exchange - BSE & NSE			
Cash / Mutual Funds / NSE SLBS	F7	F&O	F8
Currency Derivatives	F9	MTF (Margin Trading Fund)	F10

Please sign in the relevant boxes against the Exchange with which you wish to trade in Commodities.

Sr. No.	Name of National Commodity Exchanges	Date of consent for trading on concerned Exchange	Signature of the client
1.	MCX		F11
2.	NCDEX		F12
3.	BSE		F13
4.	NSE		F14

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker. If you do not wish to trade in any of exchange / segments / Mutual Fund, please mention details in below Opt out consent.

Opt out consent: I/We hereby confirm that I/We do not wish to opt for below mentioned exchange / segment

Cash : <input type="checkbox"/> NSE <input type="checkbox"/> BSE	Mutual Fund : <input type="checkbox"/> NSE <input type="checkbox"/> BSE	SLBS : <input type="checkbox"/> NSE	F15
F&O : <input type="checkbox"/> NSE <input type="checkbox"/> BSE			F16
Currency Derivatives : <input type="checkbox"/> NSE <input type="checkbox"/> BSE			F17

I. PAST REGULATORY ACTIONS:

- Details of any action/proceedings initiated/pending/taken by FMC/SEBI/Stock exchange/Commodity exchange/any other authority against the client dealing in commodities during the last 3 years: _____

J. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

(If client is dealing through the sub-broker, Authorized Person (AP) provide the following details)

Sub-broker's Name: _____

SEBI/Exchange Registration number: _____

Registered office address _____

Phone _____ Fax _____

Website _____

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

Name of stock broker _____

Name of Sub-Broker, if any: _____

Client Code: _____ Exchange: _____

Details of disputes/dues pending from/to such stock broker _____

K. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): _____
Specify your Email id, if applicable: _____
- Number of years of Investment/Trading Experience: _____

L. INTRODUCER DETAILS (OPTIONAL)

Name of Introducer | S | u | r | n | a | m | e | | | | | N | a | m | e | | | | | M | i | d | d | l | e | N | a | m | e | | | |

Status of the Introducer: Sub-broker Remisier Authorized Person Existing Client Others, please specify _____

Introducer Address _____

Tel. No. _____

Signature of the Introducer _____

Whether client is also registered as sub-broker with us or with other broker. : Yes No

If Yes, name of Broker: _____

NOMINATION DETAILS (for individuals only) - TRADING & DP

Nomination Registration Form No.		Date	D	D	M	M	2	0	Y	Y
I/We wish to make a nomination. [As per details given below]										
Nomination Details										
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.										
Nomination can be made upto three nominees in the account		Details of 1st Nominee			Details of 2nd Nominee			Details of 3rd Nominee		
Mandatory Details										
Name of the nominee(s) (Mr./Ms.)*										
Share of each nominee	Equally	%			%			%		
	[If not equally, please specify percentage]	<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>								
Relationship With the Applicant / Holder (If Any)										
* Date of Birth and Name of Guardian to be provided in case of minor nominee(s)										
Date of birth (mandatory if Nominee is a minor) dd-mm-yyyy										
Name of the Guardian of Nominee (if nominee is a minor)										
Non-mandatory Details										
Address of Nominee(s) / Guardian in case of Minor										
City / Place										
State										
Country										
Pin Code										
Mobile / Telephone No. of nominee(s) / Guardian in case of Minor										
Email ID of nominee(s) / Guardian in case of Minor										
Nominee / Guardian (in case of Minor) Identification details – [Please tick any one of following and provide details of same]										
<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID										




* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination /negative nomination]

Details of the Witness	Witness Details
Name of witness	
Address of witness	
Signature of witness	

The Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

This nomination shall supersede any prior nomination made by the account holder(s), if any

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

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature	F18 	S1 	T1 

(Signature should be preferably in blue ink).

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DECLARATION FORM FOR OPTING OUT OF NOMINATIONDate: - -

To,
Anand Rathi Share & Stock Brokers Limited
 Express Zone, A Wing, 10th Floor, Western Express Highway,
 Goregaon (East), Mumbai - 400 063, Maharashtra.

DP ID	
--------------	--

Client Code	
--------------------	--

First Holder Name	
Second Holder Name	
Third Holder Name	

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

F19 _____
(Signature of 1st Holder)**S2** _____
(Signature of 2nd Holder)**T2** _____
(Signature of 3rd Holder)

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination /negative nomination]

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BROKERAGE TARIFF STRUCTURE

	Equity					
	Cash		F&O		Currency	
	Min	In	Min	In	Min	In
	(Paise)	(%)	(Paise)	(%)	(Paise)	(%)
Trading Brokerage						
Delivery Brokerage						
SLBS Brokerage	IN %	Option Brokerage	Per Lot	Percentage (%)	Per Lot	Percentage (%)
			Rs.		Rs.	

Commodities Brokerage Tariff Structure

Delivery (%)		Min. (paise)	
Trading (Cash Leg) (%)		Min. (paise)	
Option Brokerage	Per Lot		Percentage (%)
	Rs.		

- Special rates as may be agreed by the sub-broker/Authorised Person and client and the same are mentioned here.

Other Charges

- Trading Account opening charges is Rs 552/- including GST. (Will be waived off in case of receipt of upfront payment of Rs 10000/- towards margin amount along with account opening application.)
- SEBI Turnover fees, Goods & Service Tax, Stamp Duty and Transaction charges will be levied separately from brokerage as applicable from time to time
- Segment and bill wise Minimum Brokerage will be Rs. 25/- (Not more than Exchange Norms).
- Brokerage on Scrip "LIQUIDBESS" will be 0.0001% of Turnover in NSE and BSE Cash Segment.
- Cash market segment delivery brokerage tariff will be applicable in case of F&O position convert into stock delivery at the end of the F&O expiry day.
- GST will be applicable as per Central & State Governments Rules.
- Any scrip movement from client Demat to ARSSBL margin account in any mode of transaction (DIS/DDPI/POA), Pledge charges would be applicable in trading account as per ARSSBL policy.
- If there is debit balance in the ledger account beyond T+1, then the Delayed payment charges will be levied @ 18% p.a + taxes as applicable on the debit amount.
- Client needs to maintain Cash Margin Ratio of 50:50. If there is shortfall related to 50% cash Margin and / or Overall Margin (considering non cash collateral as per applicable hair cut), then Delayed Payment Charges will be levied @ 9% p.a + taxes as applicable on the shortfall amount.

Signature of Client **F21**

FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL / NON INDIVIDUAL

Client Name						
	First / Sole Holder		Second Holder (if any)		Third Holder (if any)	
Are you U.S. Person? (Refer KYC Handout - Customer Copy)	<input type="checkbox"/> Yes <input type="checkbox"/> No.		<input type="checkbox"/> Yes <input type="checkbox"/> No.		<input type="checkbox"/> Yes <input type="checkbox"/> No.	
Specify country of resident for tax purpose (Tax Residency)	<input type="checkbox"/> India <input type="checkbox"/> Other		<input type="checkbox"/> India <input type="checkbox"/> Other		<input type="checkbox"/> India <input type="checkbox"/> Other	
Specify country of citizenship	<input type="checkbox"/> India <input type="checkbox"/> Other		<input type="checkbox"/> India <input type="checkbox"/> Other		<input type="checkbox"/> India <input type="checkbox"/> Other	

Note: If you are a U.S. person and / or if your tax resident / nationality / citizenship is other than India than please provide declaration / self certification under FATCA / CRS.

This declaration form can be downloaded from <http://www.rathi.com> or call at centralized helpdesk at 1-800 420-1004 / 1800 121 1003 / 0291-666-1001 or write to customersupport@rathi.com

F22

S3

T3

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.

F23 

Date :

This space is intentionally kept blank

Client Category & Client Commodity wise Category DeclarationDate : - - Trading Code Client Name **A. Client Category for Individual / Non Individual (Please tick (✓) on Clients Category)****Client Category for Individual Client**

- | | | |
|--|--|---|
| <input type="checkbox"/> Retail – Individual | <input type="checkbox"/> Farmer | <input type="checkbox"/> Foreign Portfolio Investor-1 |
| <input type="checkbox"/> Processor/Miller | <input type="checkbox"/> High Networth Individuals | <input type="checkbox"/> Foreign Portfolio Investor-2 |
| <input type="checkbox"/> Physical Commodity Trader | <input type="checkbox"/> | <input type="checkbox"/> Foreign Portfolio Investor-3 |

Client Category for Non-Individual Client

- | | | |
|---|--|---|
| <input type="checkbox"/> Retail-corporate | <input type="checkbox"/> Statutory Bodies | <input type="checkbox"/> Foreign Portfolio Investor-1 |
| <input type="checkbox"/> Processor/Miller | <input type="checkbox"/> Depository receipts (DR) | <input type="checkbox"/> Foreign Portfolio Investor-2 |
| <input type="checkbox"/> Physical Commodity Trader | <input type="checkbox"/> Merchant Bankers | <input type="checkbox"/> Foreign Portfolio Investor-3 |
| <input type="checkbox"/> Non-Banking Financial Company (NBFC) | <input type="checkbox"/> Defense Establishments | <input type="checkbox"/> Alternate Investment Fund (AIF)-Category III |
| <input type="checkbox"/> Government Agency | <input type="checkbox"/> Farmer Producer Organizations (FPO) | <input type="checkbox"/> Foreign Direct Investment (FDI) |

B. Client's Commodity Wise Category (Please tick (✓) on Clients Category on each Commodity)

Sr. No.	Symbol	FPOs / Farmers	VCPs / Hedgers	Proprietary Traders	Domestic Financial Institutional Investors	Foreign Participants	Others
1	ALMOND						
2	ALUMINI/ALUMINIUM						
3	BARLEYJPR						
4	BRASSPHY						
5	CARDAMOM/CARDAM						
6	CASTOR/CASTORSEED						
7	CHANA/CHANADEL						
8	COCUDAKL						
9	COPPER/COPPERM						
10	COTTON						
11	CPO						
12	CRUDEOIL/CRUDEOILM						
13	DHANIYA						
14	DIAMOND						
15	GOLD/GOLDM/ GOLDGUINEA/GOLDPETAL						
16	GUARGUM/GUARGUM5						
17	GUARSEED/GUARSEED10						
18	ISABGS						
19	JEERAUNJHA						
20	JUTE						

21	KAPAS						
22	LEAD/LEADMINI						
23	MAIZEKHRIF						
24	MAIZERABI						
25	MENTHAOIL						
26	NATURALGAS						
27	NICKEL						
28	PB1121						
29	PEPPER						
30	POTATO						
31	RAPES						
32	RBDPMOLEIN						
33	REFSOOIL						
34	RMSEED						
35	RUBBER						
36	SILVER/SILVERM/SILVERMIC						
37	SOYOIL						
38	STEELONG						
39	SUGARM/SUGARMDEL/SUGARMKOL/SUGARSKLP						
40	SYBEANIDR						
41	SYOREF						
42	TIN						
43	TMCFGRNZM/TURMERIC						
44	WHEAT/WHEATFAQ						
45	ZINC/ZINCMINI						
46							
47							
48							
49							
50							

C. EFE (Eligible Foreign Entity-Only Foreign Investor) No Yes **IF EFE "YES" then Enter LEI* NO** _____

***LEI Means - Legal Entity Identification Number**

Declaration :- I/ We have hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I/ We undertake to inform you immediately for any changes. I/ We authorised you to add all other Commodities under other Category if I did not mentioned / selected from above list and/ or if any new Comoddiy is come in any exchange in Future.

Seal & Signature

SELECT ACCORDINGLY THE TYPE OF ACCOUNT

Type of Account (for individual / nri / foreign national only)	
Status	Sub – Status (Please Tick whichever is applicable)
<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) _____

OR

Type of Account (for corporate / clearing member only)	
Sub-Status (To be Filled by DP)	Status (Please Tick whichever is applicable)
	<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) _____
<input type="checkbox"/> Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____

Instructions to the Applicants (BOs) for account opening:

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

Additional Details

SMS Alert Facility	Refer to terms and condition given as Annexure 'A' available at our website www.rathi.com		
Mobile Registration	MOBILE NO.: +91 _____ E-mail ID _____ [[Mandatory, if you are giving Demat Debit and Pledge Request (DDPI) / Power of Attorney (POA)] (if DDPI / 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 & Conditions given as Annexure - A available at our website www.rathi.com	I wish to avail the TRUST facility using the Mobile No. registered for SMS Alert Facility. I have read and understood the Terms & Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to registered the following clearing member IDs under my/our below mentioned BO ID registered for TRUST		
	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)
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.		

Additional Information (for corporate / clearing member only)

SEBI Regn. No. (If applicable)	_____	SEBI Regn. Date	_____
ROC Regn. No. (If applicable)	_____	ROC Regn. Date	_____
RBI Regn. No. (If applicable)	_____	RBI Approval Date	_____

Clearing Members Details (to be filled by cms only)

Name of the Stock Exchange _____




Name of the CC / CH _____

Trading Id _____

Clearing Member ID _____

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

A) Names B) Designation (For Corporate) C) Signature of Holders

	Sole / First Holder	Second Holder	Third Holder
	First / Sole Authorised Signatory (For Corporate)	Second Authorised Signatory (For Corporate)	Third Authorised Signatory (For Corporate)
A.	Name	Name	Name
B.	Designation	Designation	Designation
Specimen Signature	F24  (Signature of 1st Holder)	S4  (Signature of 2nd Holder)	T4  (Signature of 3rd Holder)

DECLARATION OF MOBILE NUMBER/ EMAIL ID

Date: _____

To,
Anand Rathi Share & Stock Brokers Limited
 Express Zone, A Wing, 10th Floor, Western Express Highway,
 Goregaon (East), Mumbai - 400 063, Maharashtra.

I/We _____ hereby declare that the Mobile No. _____ With Relation: Self

Spouse Dependent – Child Dependent - Parent. Or Authorized Person in : Corporate/Trust/Partnership Firm / HUF Account

And Email ID _____ With Relation: Self

Spouse Dependent – Child Dependent - Parent. Or Authorized Person in : Corporate/Trust/Partnership Firm /HUF Account

Belongs to Mr./Mrs./Ms. _____ For Email Mobile Both

Belongs to Mr./Mrs./Ms. _____ For Email Mobile Both

I/We request you to update the same in my trading and Demat account and send all the Confirmations and other communication through SMS and EMAIL ID.

Further I/We hereby agree & undertake to indemnify and keep indemnified and save harmless you from against all claims/ demands/ penalties/suits/action or any loss or damaged suffered or incurred by you as Consequence of such instruction.

Please provide detail as mentioned below :- For Email Mobile Both

Relation	Name	Trading code	Demat Account No.
Spouse			
Dependent – Child / Parents			
Corporate/Trust/Partnership Firm / HUF Account			

For Email Mobile Both (If Relationship differ as mentioned in Belong to with Email / mobile Relationship)

Relation	Name	Trading code	Demat Account No.
Spouse			
Dependent – Child / Parents			
Corporate/Trust/Partnership Firm / HUF Account			

Client Code : _____ Demat ID No. _____

Thanking You,

	1st Holder	2nd Holder	3rd Holder
Name			
Signature / Auth. Signatory			

DP - TARIFF - Anand Rathi Share and Stock Brokers Limited

Client BOID (16 digit) -		LIFE TIME FREE AMC (DEPO3K_N) (For Individual Only)		BSDA (For Individual Only)	
Charge Description	GREAT_N	Nil	Nil	Nil	Nil
Account Opening	Nil	Nil	Nil	Nil	Nil
Annual Maintenance	For Individual - 2nd year Onwards Rs. 450/- For Corporate - 1st yr. 500/-, 2nd yr. onwards Rs.950/-	Nil	Nil	Nil	Nil (For valuation below Rs. 50000/-) Rs. 100/- (For valuation Rs.50001/-to 2 lac)
Sell transaction within ARSSBL	Rs. 15/- per ISIN (POA/DDPI) Rs.20/- per ISIN Non POA/ NON DDPI Client)	Rs. 15/- per ISIN (POA/DDPI) Rs.20/- per ISIN Non POA/ NON DDPI Client)	Rs. 15/- per ISIN (POA/DDPI) Rs.20/- per ISIN Non POA/ NON DDPI Client)	Rs. 100/- and Max Rs. 2500/- or 0.025% of transaction Value	Rs. 100/- per ISIN
Off Market Transfer	Within ARSSBL - Min. Rs. 25/- and Max Rs. 500/- or 0.025% of Value Other DP /Broker - Min. Rs. 50/- and Max Rs. 2500/- or 0.025% of Value	Within ARSSBL - Min. Rs. 25/- and Max Rs. 500/- or 0.025% of Value Other DP / Broker - Min. Rs. 50/- and Max Rs. 2500/- or 0.025% of Value	Within ARSSBL - Min. Rs. 25/- and Max Rs. 500/- or 0.025% of Value Other DP / Broker - Min. Rs. 50/- and Max Rs. 2500/- or 0.025% of Value	Min Rs. 100/- and Max Rs. 2500/- or 0.025% of transaction Value	Min Rs. 100/- and Max Rs. 2500/- or 0.025% of transaction Value
Account Modification (viz. Addition / Changes / Deletion in Master details like Name, PAN, Address, Email, Mobile, Bank etc.)	Rs. 15/-	Rs. 15/-	Rs. 15/-	Rs. 50/-	Rs. 50/-
Freeze & Unfreeze	Rs. 15/-	Rs. 15/-	Rs. 15/-	Rs. 50/-	Rs. 50/-
Demat Charges	Rs. 50/- per certificate + Rs. 50/- per Request	Rs. 50/- per certificate + Rs. 50/- per Request	Rs. 50/- per certificate + Rs. 50/- per Request	Rs. 10/- per certificate + Rs. 75/- per request in case of bulk, above 100 certificate Rs. 5/- & Actual Courier Charge Jumbo certificate 0.05% on qty. of shares	Rs. 10/- per certificate + Rs. 75/- per request in case of bulk, above 100 certificate Rs. 5/- & Actual Courier Charge Jumbo certificate 0.05% on qty. of shares
Remat Charges	Rs 35/- for every 100 securities or a Flat fee of Rs 35/- per certificate, Whichever is higher + 20/- Postage chg.	Rs 35/- for every 100 securities or a Flat fee of Rs 35/- per certificate, Whichever is higher + 20/- Postage chg.	Rs 35/- for every 100 securities or a Flat fee of Rs 35/- per certificate, Whichever is higher + 20/- Postage chg.	Rs.50/- for every 100 securities or a Flat fee of Rs 25/- per certificate, Whichever is higher + 25/- Postage chg.	Rs.50/- for every 100 securities or a Flat fee of Rs 25/- per certificate, Whichever is higher + 25/- Postage chg.
Pledge Creation/Closure/Cancellation	Other Than MTF in ARSSBL - 0.01% of value or min Rs.50/- per req MTF in ARSSBL - Rs. 15 Per request	Other Than MTF in ARSSBL - 0.01% of value or min Rs.50/- per req MTF in ARSSBL - Rs. 15 Per request	Other Than MTF in ARSSBL - 0.01% of value or min Rs.50/- per req MTF in ARSSBL - Rs. 15 Per request	Other Than MTF in ARSSBL - 0.01% of value or min Rs.50/- per req MTF in ARSSBL - Rs. 15 Per request	Other Than MTF in ARSSBL - 0.01% of value or min Rs.50/- per req MTF in ARSSBL - Rs. 15 Per request
Margin Pledge Creation/Closure/Cancellation	Rs 10 per request	Rs 10 per request	Rs 10 per request	Rs 10 per request	Rs 10 per request
Rejection charges - DRF & Instruction Slip	Rs. 50/- Per ISIN demat Rejection and Rs. 25/- Per ISIN DIS Rejection	Rs. 50/- Per ISIN demat Rejection and Rs. 25/- Per ISIN DIS Rejection	Rs. 50/- Per ISIN demat Rejection and Rs. 25/- Per ISIN DIS Rejection	Rs. 100/- Per rejection	Rs. 100/- Per rejection
Additional statement (other than free Monthly)	Rs.15/- per statement	Rs.15/- per statement	Rs.15/- per statement	Rs.25/- per statement	Rs.25/- per statement
DIS book Request on plain letter instead of requisition slip	Rs 25/- per Request for 5 Leaves and Rs.25/- Multiple of 5 Leaves	Rs 25/- per Request for 5 Leaves and Rs.25/- Multiple of 5 Leaves	Rs 25/- per Request for 5 Leaves and Rs.25/- Multiple of 5 Leaves	Rs 25/- per Request for 5 Leaves and Rs.25/- Multiple of 5 Leaves	Rs.100/- per DIS book
Client Unpaid Security Pledge /Unpledge Charges	CUSPA pledge /unpledged and pledge invoke Rs.15/-per Request	CUSPA pledge /unpledged and pledge invoke Rs.15/-per Request	CUSPA pledge /unpledged and pledge invoke Rs.15/-per Request	CUSPA pledge /unpledged and pledge invoke Rs.15/-per Request	CUSPA pledge /unpledged and pledge invoke Rs.15/-per Request

Other salient features:- 1. Fees schedule is based on existing CDSL charges and may be changed at our discretion & will be informed well in advance before implementation. 2. In case of Life time free AMC scheme Credit balance will be purely Interest free deposit. 3. In case of Life time free AMC, if account is closed before 12 months, then AMC of Rs. 500/- will be levied and the remaining balance will be refunded to client. 4. Deposit amount would be refunded on Closure of DP A/c after adjusting DP Dues if any. 5. Cheque should be drawn in favour of ANAND RATHI SHARE & STOCK BROKERS LTD. (For Bounce cheque Rs. 250/- penalty will be charged) 6. Rs.25/- per scrip will be charged in case Instruction received on the same day of Payin (Company will not be responsible for any claims in case instruction received late i.e. on same day of PAYIN). 7. Interest @ 13% for nonpayment of bill. Goods & Service tax and other levies would be as applicable. 8. GST will be applicable as per Central Government and State Government Rules. **Declaration by client:-** *I/We hereby authorize you to debit / transfer of fund from DP account to Trading account or vice-versa, in order to set off outstanding dues in my /our account. * I/We have read and understood the regulatory (SEBI) guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines from time to time. I/We also undertake to comply with the guidelines issued by any such authority for BSDA facility from time. I/We also agree that in case our demat account opened under BSDA facility does not meet the eligibility for BSDA facility as per guideline issued by SEBI or any such authority at any point of time, my /our BSDA account will be converted to regular demat account without further reference to me / us and will be levied charges as applicable to regular accounts as informed by the ARSSBL. I, the first /sole holder also hereby declare that I do not have / propose to have any other demat account across depositories as a first / sole holder.

I do not wish to avail BSDA scheme I wish to avail BSDA scheme

F25 

S5 

T5 

(Sole / First Holder) _____ (Second Holder) _____ (Third Holder) _____ **ARSSBL - Authorised Signatory**

In case of any further clarification, contact to nearest branch / email us at customersupport@rathi.com / call us on our Toll Free number 1-800-420-1004 / 1800 121 1003 / 0291-666-1001. For Anand Rathi Share and Stock Brokers Ltd.

DP - TARIFF - Anand Rathi Share and Stock Brokers Limited

Charge Description	Client BOID (16 digit) -	
	LIFE TIME FREE AMC (F1_N) (For Individual Only)	LIFE TIME FREE AMC (F2_N) (For Individual Only)
Account Opening	Nil	Nil
Annual Maintenance	NIL - with Credit Balance of Rs. 999/- (Non Refundable)	NIL
Sell transaction within ARSSBL	Rs.20/- per ISIN (POA/DDPI Client) Rs.30/-per ISIN (Non POA/Non DDPI Client)	Rs.30/- per ISIN (POA/DDPI clients) Rs.40/-per ISIN (Non POA/Non DDPI Client)
Off Market Transfer	Within ARSSBL - Min.Rs. 25/- and Max Rs. 500/- or 0.025% of Value Other DP / Broker - Min. Rs. 50/- and Max Rs. 2500/- or 0.025% of Value	Within ARSSBL - Min.Rs. 25/- and Max Rs. 500/- or 0.025% of Value Other DP / Broker - Min. Rs. 50/- and Max Rs. 2500/- or 0.025% of Value
Account Modification (viz. Addition / Changes / Deletion in Master details like Name, PAN, Address, Email, Mobile, Bank etc.)	Rs. 15/-	Rs. 15/-
Freeze & Unfreeze	Rs. 15/-	Rs. 15/-
Demat Charges	Rs. 50/- per certificate + Rs. 50/- per Request	Rs. 50/- per certificate + Rs. 50/- per Request
Remat Charges	Rs. 35/- for every 100 securities or a Flat fee of Rs. 35/- per certificate, Whichever is higher + 20/- Postage chg.	Rs. 35/- for every 100 securities or a Flat fee of Rs. 35/- per certificate, Whichever is higher + 20/- Postage chg.
Pledge Creation/Closure/Cancelation	Other Than MTF in ARSSBL - 0.01% of value or min Rs.50/- per req MTF in ARSSBL - Rs. 15 Per request	Other Than MTF in ARSSBL - 0.01% of value or min Rs.50/- per req MTF in ARSSBL - Rs. 15 Per request
Margin Pledge Creation/Closure/Cancelation	Rs 10 per request	Rs 10 per request
Rejection charges - DRF & Instruction Slip	Rs. 50/- Per ISIN demat Rejection and Rs. 25/- Per ISIN DIS Rejection	Rs. 50/- Per ISIN demat Rejection and Rs. 25/- Per ISIN DIS Rejection
Additional statement (other than free Monthly)	Rs.15/- per statement	Rs.15/- per statement
DIS book Request on plain letter instead of requisition slip	Rs 25/- per Request for 5 Leaves and Rs.25/- Multiple of 5 Leaves	Rs 25/- per Request for 5 Leaves and Rs.25/- Multiple of 5 Leaves
Client Unpaid Security Pledge /Unpledge Charges	CUSPA pledge /unpledged and pledge invoke Rs. 15/-per Request	CUSPA pledge /unpledged and pledge invoke Rs. 15/-per Request

Other salient features:- 1. Fees schedule is based on existing CDSL charges and may be changed at our discretion & will be informed well in advance before implementation. 2. In case of Life time free AMCs scheme Credit balance will be purely Interest free deposit. 3. In case of Life time free AMC, if account is closed before 12 months, then AMC of Rs. 500/- will be levied and the remaining balance will be refunded to client. 4. Deposit amount would be refunded on Closure of DP A/c after adjusting DP Dues if any. 5. Cheque should be drawn in favour of ANAND RATHI SHARE & STOCK BROKERS LTD. (For Bounce cheque Rs. 250/- penalty will be charged) 6. Rs.25/- per scrip will be charged in case instruction received on the same day of Payin (Company will not be responsible for any claims in case instruction received late i.e. on same day of PAYIN). 7. Interest @ 13% for nonpayment of bill. Goods & Service tax and other levies would be as applicable. 8. GST will be applicable as per Central Government and State Government Rules.
Declaration by client:- */We hereby authorize you to debit / transfer of fund from DP account to Trading account or vice-versa, in order to set off outstanding dues in my /our account. * /We have read and understood the regulatory (SEBI) guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines from time to time. /We also undertake to comply with the guidelines issued by any such authority for BSDA facility from time. /We also agree that in case our demat account opened under BSDA facility does not meet the eligibility for BSDA facility as per guideline issued by SEBI or any such authority at any point of time, my /our BSDA account will be converted to regular demat account without further reference to me /us and will be levied charges as applicable to regular accounts as informed by the ARSSBL, the first / sole holder also hereby declare that I do not have / propose to have any other demat account across depositories as a first / sole holder.

I do not wish to avail BSDA scheme I wish to avail BSDA scheme

F26 

S6 

T6 

(Sole / First Holder)

(Second Holder)

(Third Holder)

ARSSBL - Authorised Signatory

In case of any further clarification, contact to nearest branch / email us at customersupport@rathi.com / call us on our Toll Free number 1-800-420-1004 / 1800 121 1003 / 0291-666-1001. For Anand Rathi Share and Stock Brokers Ltd.

Demat Debit and Pledge Instruction - DDPI - POA (VOLUNTARY)













Date :- _____ e-Stamp Ref. No. _____

To,

Anand Rathi Share & Stock Brokers Limited

KNOW ALL MEN BY THESE PRESENTS THAT I/WE Mr. / Mrs. / M/s. (First / Corp. Holder) _____
(Second Holder) _____ (Third Holder) _____

(hereinafter referred to as "the client") having unique client code as _____ and CDSL DP Demat Account no. 1201060 _____ Or NSDL DP Demat Account no. IN301803 _____ wish to avail below mentioned services offered by Anand Rathi Share and Stock Brokers Ltd. (hereinafter referred to as "ARSSBL"), company incorporated under the Companies Act, 1956 and having its offices at Express Zone, A Wing, 10th Floor, Western Express Highway, Goregaon (East), Mumbai - 400063, Maharashtra, and processing office at Anand Rathi Tower, CYB-2, Cyber Park, Heavy Industrial Area, Near Saras Dairy, Jodhpur - 342 003 (Rajasthan) and is a Member (Trading Member) of various exchanges (hereinafter referred to as "the Exchanges") and is also a "Depository Participant" registered with CDSL and NSDL.

Sr. No.	Purpose	Signature of First/Sole Holder*	Signature of Second Holder*	Signature of Third Holder*
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	F27 	S7 	T7 
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	F28 	S8 	T8 
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	F29 	S9 	T9 
4.	Tendering shares in open offers through Stock Exchange platforms	F30 	S10 	T10 

In case of HUF (Co-parcener's Sign.) _____ (Signature) _____ (Signature) _____ (Signature) _____ (Signature)

The demat account details of ARSSBL where securities can be transferred for payin obligation and where securities can be pledged/ re-pledged for margin obligation is mentioned below.

Exchange / Segment	DP ID - Demat Account No.	Account Type	CM-BP ID
NSE / BSE	1201060005139377	Corporate CM CUSPA	
BSE	IN301803-10020525 / 1201060000201190	Stock Broker-Pool account	IN609492
	1100001000012579	BSE-Early Payin Account	
NSE	IN301803- 10003814	NSDL Stock Broker-Pool account	IN559169
	1201060000045171	CDSL Stock Broker-Pool account	
	1100001100016041	NSE-Early Payin Account	
All Exchange / Segment	IN301803- 10035831 / 1201060003889580	Client Securities Margin Pledge Account	
MCX	IN301803- 10037659 / 1201060004285455	Client Securities Margin Pledge Account	
NCDEX	IN301803- 10037667 / 1201060004285461	Client Securities Margin Pledge Account	
BSE Commodity	IN301803- 10037675 / 1201060004285474	Client Securities Margin Pledge Account	
NSE SLBS Account	1201060001406922	SLBS Clearing Account	
MTF - Cash Segment	1201060003889747	Client Securities under Margin Funding Account	
	10035858		
	12010600		
	IN301803		

Further in case the Stock Broker is required to open any new accounts for the purpose of mentioned above (Account Type) for trades on any recognized stock exchange, I/we hereby agree that this DDPI shall be applicable to all such accounts and would be covered by this DDPI as long as the details of such accounts are informed to me/us in writing by the said stockbroker.

For Anand Rathi Share and Stock Brokers Ltd.

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To,
Anand Rathi Share and Stock Brokers Limited (ARSSBL)
 Express Zone, A Wing, 10th Floor,
 Western Express Highway, Goregaon (East),
 Mumbai - 400 063, Maharashtra.

Dear Sir(s),

Sub: Request for sending Contract Notes, Account Statements / Documents etc. on My/our Email ID

I, _____ a client with
 Member M/s. _____ of _____ Exchange undertake as
 follows:

- I/we aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I/we myself want the same in the electronic form.
- I/we aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I/we find that it is inconvenient for me to receive physical contract notes. Therefore, I/we am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me/us.
- I/we have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is* _____. This has been created by me/us and not by someone else.
- I/we am/are aware that this declaration form should be in English or in any other language known to me/us.
- I/we am/are aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.
- I/We given to understand that M/s ARSSBL simultaneously publishes the 'electronic documents' on its designed website / online portal <https://boc.rathi.com> in order to further strengthen the electronic communication channel.

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

*(The email id must be return in own handwriting of the client.)

Client Name: _____

Unique Client Code : _____ PAN: _____

Address : _____

In case of any change in my/our said E-mail Id, I/We undertake to intimate the same to you in writing through a physical letter.

F31 

Date:

LETTER OF AUTHORITY (VOLUNTARY)

Anand Rathi Share and Stock Brokers Ltd. (ARSSBL)

Express Zone, A Wing, 10th Floor,
Western Express Highway, Goregaon (East),
Mumbai - 400 063, Maharashtra.

Dear Sirs,

Ref. Client Code

Sub: Letter of Authority for NSE / BSE / MCX / NCDEX / ICEX

I/We am/are dealing with you (NSE / BSE / MCX / NCDEX / ICEX) and in order to facilitate ease of operations, I/We authorize you as under:

1. I/We authorizes to my attorney to set off outstanding in my/our accounts against credits available maintained with ARSSBL irrespective of the fact that such outstanding may pertain to transaction in any of the Exchange and/or against the value of cash margin or collateral securities provided to by me/us.
2. I/We request you to retain credit balance in any of my/our account and to use the idle funds towards my/our margin/future obligations at the Exchange unless I/We instruct you otherwise.
3. I/We request you to retain securities in your Demat account for my/our margin/future obligations, unless otherwise I/We instruct you to transfer the same to my/our account.
4. The client hereby authorizes the trading member to maintain a Running Account of the client in order to facilitate the transfer of funds across segments/retain credit balance/to set off outstanding.
5. I would like the mandatory settlement of the funds and securities (if applicable) as indicated below (tick against your preference).
 Monthly Basis Quarterly Basis
6. As and when I/We require the funds/ securities. I /We be informing you of the same and on receipt of the instructions from me/us, same may be released within one working day of the request after verification and if the amount is due as per ARSSBL.
7. To square off my/our position of transactions that are not delivery market during intraday trade.
8. The client agrees to bear interest @ 18% p.a. which would be charged on outstanding dues in order to meet up with the client's obligations temporarily.
9. I/we have been made aware of the company's policies & procedure.
10. The above authorization can be revoked at any point of time at the client's own discretion by giving written confirmation to ARSSBL.
11. I/We authorized you to reach out to me/ us for any confirmations like Order Verification, Delivery Confirmation, Trade Confirmation, Welcome call etc. through Call/ IVR, E-Mail/ SMS or other source of communication on the Mobile no. recorded/ registered with us, irrespective of User's registration with DND registry of TRAI.
12. I/We agree to auto-renew my/us consent after every 180 days until I/ we opt-out.

F32 

Date:

MUTUAL FUND CONFIRMATION

Date: _____

To,
Anand Rathi Share and Stock Brokers Ltd. (ARSSBL)
Express Zone, A Wing, 10th Floor, Western Express Highway,
Goregaon (East), Mumbai - 400 063, Maharashtra

Dearsir,

Sub: BSE StAR MF/MFSS

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) and National 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/MFSS on the Exchange.

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

I/We am/are willing to abide by the terms and conditions as mention in the circular dated December 2, 2009 and such other Notices/Circulars as may be specified by the Exchange/ICCL from time to time in this regards, related to BSE STAR MF and Terms & Conditions mentioned in circular No. NSE/MFSS/003/2008 download Ref. No. NSE (MIC/13533) dated November 24, 2009 related to MFSS.

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 and MFSS.

Details of terms & conditions for the Investor/Client for using BSE StAR MF and MFSS Platform

1. Pre-requisites for becoming Investor / Client for the BSE STAR MF/MFSS platform

- i. The client who is desirous of investing in units of mutual fund schemes through the BSE STAR MF/MFSS.
- ii. 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/MFSS platform.
- iii. The client has satisfied itself of the capacity of the MFI/Participant 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.
- iv. The Client has approached to the MFI/ Participant with the application for availing the BSE STAR MF/MFSS platform.
- v. The client has submitted relevant KYC (Know Your Client) details to the MFIs/ Participant.

2. Terms and Conditions

- i. The client shall be bound by circulars issued by BSE's/NSEIL 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.
- ii. The client shall notify the MFI/ Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the MFI/ Participant at the time of registering as a client for participating in the BSE STAR MF/MFSS platform or at any time thereafter.
- iii. The client shall submit to the MFI/ Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the MFI/ Participant.
- iv. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- v. The client shall be wholly responsible for all his investment decisions and instruction.
- vi. The client shall ensure continuous compliance with the requirements of the BSE, NSEIL, SEBI and AMFI.
- vii. The Client shall pay to the MFI/ Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that MFI/ Participant renders to the Client.
- viii. The client will furnish information to the MFI/ Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- ix. In the event of non-performance of the obligation by the MFI/ Participant, 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)/NSEIL or NSCCL.
- x. In case of any dispute between the MFIs/Participant and the investors arising out of the BSE STAR MF/MFSS platform, BSE/NSEIL and / or ICCL/NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

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(Client Signature)

AADHAAR CONSENT LETTER

Date: _____

To,
Anand Rathi Share & Stock Brokers Limited (ARSSBL)
Express Zone, A Wing, 10th Floor, Western Express Highway,
Goregaon (East), Mumbai - 400063, Maharashtra

Subject: Consent to use Aadhaar card copy

Ref : Application for New Client/Authorized Person Registration

Dear Sir,

I the undersigned _____, understand that I can submit either of the following document copy as an address proof for registration.

Voter ID Card Driving License Passport Ration Card Aadhaar Card Utility Bills (shall not be more than two months old)

I willingly give my consent to ARSSBL to accept copy of my Aadhaar card and proceed with the referred application.

Client Code/ DP ID: _____

Thanking you,

Yours Sincerely.

Name: _____

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Signature of the Aadhaar Card Owner

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Registered office :

Express Zone, A Wing, 10th Floor,
Western Express Highway,
Goregaon (East),
Mumbai - 400 063, Maharashtra.
Tel. : 022- 6281 7000

Corporate Office :

11th Floor, Times Tower,
Kamala Mills Compound,
Senapati Bapat Marg,
Lower Parel, Mumbai - 400 013.
Tel. : 91-22-4047 7000
Fax : 91-22-4047 7070

Processing Office :

Plot No. CYB-2, Cyber Park,
Heavy Industrial Area,
Near Saras Dairy,
Jodhpur - 342 003.
Tel.: +91 291 2709100
+91 291 7117001

Contact us :

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