

## SET OF ACCOUNT OPENING DOCUMENT

**Name of Member** : FINVASIA SECURITIES PVT LTD  
**Membership** : CDSL  
**SEBI Registration No.** : IN-DP-317-2017  
**Research Analyst No.** : INH000011927  
**Corporate office** : FINVASIA CENTRE, D-179, Phase 8 B, (Sector 74), Mohali, Punjab - 160055 (India)  
 Phone : +91 9779 902 002, Web Site : www.finvasia.com  
**Compliance Officer** : Hardeep Singh, Phone No.: +91 9779 902 002, Email : ccofspl@shoonya.com  
**CEO** : Sarvjeet Singh, Phone No.: +91 9779 902 002 Email : ccofspl@shoonya.com

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#### MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

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For any grievance/dispute please contact Finvasia Securities Private Limited at the above mention address or email complaints@finvasia.com. In case not satisfied with response, Please contact the concern exchange(s) at :

**Exchange Name**  
 Central Depository Services (India) Ltd. (CDSL)

**E-mail Id**  
 complaints@cdslindia.com

**Phone No.**  
 022-22723333

**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual**
**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.  
 B) Please fill the form in English and in BLOCK letters.  
 C) Please fill the date in DD-MM-YYYY format.  
 D) Please read section wise detailed guidelines / instructions at the end.  
 E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 F) List of two character ISO 3166 country codes is available at the end.  
 G) KYC number of applicant is mandatory for update application.  
 H) 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

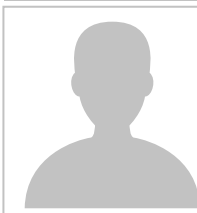
 (Mandatory for KYC update request)

Account Type\*

☐ Normal ☐ Simplified (for low risk customers) ☐ Small

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

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<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	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector )	
	<input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student)	
	<input type="checkbox"/> B-Business			
	<input type="checkbox"/> X- Not Categorised			

**PHOTO**  
  
 Signature / Thumb Impression

☐ **2. TICK IF APPLICABLE** ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\*

Tax Identification Number or equivalent (If issued by jurisdiction)\*

Place / City of Birth\*  ISO 3166 Country Code of Birth\*

☐ **3. PROOF OF IDENTITY (PoI)\*** (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number <input type="text"/>	Passport Expiry Date <input type="text"/>
<input type="checkbox"/> B- Voter ID Card <input type="text"/>	
<input type="checkbox"/> C- PAN Card <input type="text"/>	
<input type="checkbox"/> D- Driving Licence <input type="text"/>	Driving Licence Expiry Date <input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar) <input type="text"/>	
<input type="checkbox"/> F- NREGA Job Card <input type="text"/>	
<input type="checkbox"/> Z- Others (any document notified by the central government) <input type="text"/>	Identification Number <input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code <input type="text"/>	Identification Number <input type="text"/>

**4. PROOF OF ADDRESS (PoA)\***
☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type\* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address\* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar)

☐ Voter Identity Card ☐ NREGA Job Card ☐ Others  please specify

☐ Simplified Measures Account - Document Type code

**Address**

Line 1\*

Line 2

Line 3

District\*  Pin / Post Code\*  City / Town / Village\*

State / U.T Code\*  ISO 3166 Country Code\*

☐ 4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS \* (Please see instruction E at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1\*

Line 2

Line 3  City / Town / Village\*

State\*  ZIP / Post Code\*  ISO 3166 Country Code\*

☐ 5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Tel. (Off)  -  Tel. (Res)  -  Mobile  -

FAX  -  Email ID

☐ 6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

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

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

Name\*  Prefix  First Name  Middle Name  Last Name

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

PROOF OF IDENTITY [PoI] OF RELATED PERSON\* (Please see instruction (H) at the end)

☐ A- Passport Number  Passport Expiry Date

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence  Driving Licence Expiry Date

☐ E- UID (Aadhaar)

☐ F- NREGA Job Card

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

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

☐ 7. REMARKS (If any)

8. 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.



[Signature / Thumb Impression]

Date :

Place :

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ IPV Done

KYC / IN-PERSON VERIFICATION CARRIED OUT BY

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name **FINVASIA SECURITIES PVT. LTD.**

Code

[Institution Stamp]

# ACCOUNT OPENING FORM INDIVIDUALS



## FINVASIA SECURITIES PVT.LTD.

SEBI REGN. NO. : IN-DP-317-2017 • DP ID 12084300

FINVASIA CENTRE, D 179, Phase 8 B, (Sector 74), Mohali, Punjab-160055 (India)

Ph.:+91 9779 902 002, Fax : 0172-6670070, E-mail : cdsldp@shoonya.com



### ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT FOR INDIVIDUALS

(To be filled by the Depository Participant)

Application No.											Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																			
DP ID	1	2	0	8	4	3	0	0	Client ID										

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

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

#### TYPE OF ACCOUNT (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) _____

#### HOLDERS DETAILS

Sole/First Holder's Name											PAN									
UID												Date of Birth	D	D	M	M	Y	Y	Y	Y
UCC												Exchange Name & ID								
Second Holder's Name											PAN									
UID												Date of Birth	D	D	M	M	Y	Y	Y	Y
Third Holder's Name											PAN									
UID												Date of Birth	D	D	M	M	Y	Y	Y	Y

Name\* \_\_\_\_\_

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

#### OTHER DETAILS

Gross Annual Income Details	Income Range per annum :																	
	<input type="checkbox"/> Upto Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> More than Rs. 25,00,000																	
	Net Worth as on (date)										D	D	M	M	Y	Y	Y	Y
(Net Worth should not be older than 1 year)																		
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (specify) _____																	
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)																	
Any other information																		

**BANK DETAILS (Dividend Bank Details)**

Bank Code (9 digit MICR Code)										
IFS Code (11 Character)										
Account Number										
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify)_____									
Bank Name										
Branch Name										
Bank Branch Address										
City		State		Country		PIN				

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque books is issued, (or)  
 (ii) Photocopy of the Bank Statement having name and address of the BO.  
 (iii) Photocopy of the Passbook having name and address of the BO, (or)  
 (iv) Letter from the Bank.

➤ In case of option (ii), (iii) and (iv) above, MICR Code of the branch should be present/mentioned on the document.

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

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

<b>SMS Alert Facility</b>	MOBILE No.: +91-..... [Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).		<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Transactions Using Secured Texting Facility (TRUST)</b>	I/We wish to avail the TRUST facility using the Mobile Number registered for SMS Alert Facility, I/We have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST.		
	<b>Stock Exchange Name/ID</b>	<b>Clearing Member Name</b>	<b>Clearing Member ID (Optional)</b>
<b>Easi</b>	To register for <b>easi</b> , please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . <b>Easi</b> allows a BO to view his ISIN balances, transactions and value of the portfolio online.		



## TARIFF FOR DEPOSITORY SERVICES

Sl. No.	TRANSACTION DETAIL	RETAIL CLIENTS	BSDA CLIENTS	CORPORATE CLIENTS
1.	Demat Account Opening Charges	Nil	Nil	Nil
2.	Account Maintenance Charges	Nil	Nil	Rs. 900/- (P.A.)
3.	DDPI Services	Rs. 100/- (One Time)	Rs. 100/- (One Time)	Rs. 100/- (One Time)
4.	<b>Transaction Charges per ISIN:</b> (a) Buy (Receive) (b) Sell (Debit) (c) Off Market Transactions	Nil Rs. 9/- Rs. 9/-	Nil Rs. 9/- Rs. 9/-	Nil Rs. 25/- Rs. 25/-
5.	Demat (Per certificate)	Rs. 15/- + Courier Charges	Rs. 15/- + Courier Charges	Rs. 40/- + Courier Charges
6.	Remat (Per ISIN up to 100 shares)	Rs. 15/- + Courier Charges	Rs. 15/- + Courier Charges	Rs. 40/- + Courier Charges
7.	Demat / Remat Rejection	Rs. 99/- Courier Charges	Rs. 99/- Courier Charges	Rs. 99/- Courier Charges
8.	Mutual Fund Destate	Rs. 15/- + Courier Charges	Rs. 15/- + Courier Charges	Rs. 40/- + Courier Charges
9.	Pledge/Margin Pledge per ISIN	Rs. 20/- + CDSL Charges	Rs. 20/- + CDSL Charges	Rs. 40/- + CDSL Charges
10.	Unpledge for all per ISIN	Rs. 20/- + CDSL Charges	Rs. 20/- + CDSL Charges	Rs. 40/- + CDSL Charges
11.	Pledge Invocation per ISIN	Rs. 19/-	Rs. 19/-	Rs. 30/-
12.	<b>Periodic Statement:</b> (a) By Email (b) Physical*	Free Rs. 25/- + (Courier Charges)	Free Rs. 25/- + (Courier Charges)	Free Rs. 100/- + (Courier Charges)
13.	<b>Adhoc / Non-Periodic Statement Requests:</b> (a) By Email (b) Physical	Free Rs. 5/- per page + Courier Charges	Free Rs. 5/- per page + Courier Charges	Free Rs. 5/- per page + Courier Charges
14.	<b>Delivery Instructions:</b> (a) First Delivery Instruction Book (b) Every Additional Booklet*	Free (5 Leaves) Rs. 50/- (5 Leaves)	Free (5 Leaves) Rs. 50/- (5 Leaves)	Free (5 Leaves) Rs. 50/- (5 Leaves)
15.	Cheque Bounce / Per cheque	Rs. 299/-	Rs. 299/-	Rs. 299/-
16.	Failed Transactions	Rs. 49/- per transaction	Rs. 49/- per transaction	Rs. 49/- per transaction
17.	Modification in CML	Rs. 19/- per request	Rs. 19/- per request	Rs. 19/- per request
18.	Demat Closure Account	Nil	Nil	Nil

**NOTE: \***

**All taxes separate as applicable. DP charges will debit on T+1 day basis from trading account.**

**\*For Physical** (once a year) not chargeable.

\* Every Additional Booklet courier charges Extra.

Female demat account holders (as first holder) will be discount of ₹0.25 per transaction on the CDSL fee.

An additional discount of Rs. 0.25 will be applied to debit transactions of mutual funds and bonds ISIN.



Signature of Sole/First Holder

Signature of Second Holder

Signature of Third Holder

# NOMINATION FORM

(Annexure-A)

(To be filled in by individual applying singly or jointly)

## Finvasia Securities Pvt. Ltd.

FINVASIA CENTRE, D 179, Phase 8 B, (Sector 74)

Mohali, Punjab-160055 (India)

DATE	D	D	M	M	Y	Y	Y	Y	UCC							
------	---	---	---	---	---	---	---	---	-----	--	--	--	--	--	--	--

DP ID	1	2	0	8	4	3	0	0	Client ID							
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--

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

1	Name of the nominee(s) Mr./Ms.)			
2	<div style="display: flex; justify-content: space-between;"> <div>Share of each Nominee</div> <div>Equally</div> </div> <div style="font-size: small; margin-top: 5px;">[If not equally, please specify percentage]</div>	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.				
3	Relationship with the Applicant (if any)			
4	Date of Birth {in case of minor nominee(s)}			
5	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
6	Date of Birth of Guardian {in case of minor nominee(s)}			
7	<div>Address of Nominee(s)/ Guardian in case of Minor</div> <div style="margin-top: 10px;">City / Place: State &amp; Country:</div> <div style="margin-top: 10px; border: 1px solid black; padding: 2px;">PIN Code</div>			
8	Mobile/Telephone No.of nominee(s)/ Guardian in case of Minor			
9	Email ID of nominee(s)/ Guardian in case of Minor			
10	<div>Nominee/Guardian (in case of Minor) Identification details – [Please tick any one of following and provide details of same]</div> <div style="margin-top: 10px;"> <input type="checkbox"/> Photograph &amp; Signature  <input type="checkbox"/> PAN    <input type="checkbox"/> AADHAAR  <input type="checkbox"/> Saving Bank A/c No.  <input type="checkbox"/> Proof of Identity  <input type="checkbox"/> Demat Account ID </div>			

	Name(s) of Holder(s)	Signature(s) of Holder
Sole/First Holder (Mr./Ms.)		 3
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

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

Note:

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

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

### DECLARATION FORM FOR OPTING OUT OF NOMINATION

(Annexure-B)

To,

**Finvasia Securities Pvt. Ltd.**

FINVASIA CENTRE, D 179, Phase 8 B, (Sector 74)

Mohali, Punjab-160055 (India)

DATE	D	D	M	M	Y	Y	Y	Y	UCC								
------	---	---	---	---	---	---	---	---	-----	--	--	--	--	--	--	--	--

DP ID	1	2	0	8	4	3	0	0	Client ID								
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

Sole/First Holder Name	
Second Holder Name	
Third Holder Name	

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

Signatures  
of Holder(s)

4

Signature of 1st Holder

Signature of 2nd Holder

Signature of 3rd Holder


**Terms & Conditions-Cum-Registration / Modification Form for receiving SMS Alerts from CDSL**
**Definitions :**

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

**Fees, Charges and deposits**

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

**Availability :**

1. The service will be provided to the BO at his/her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The service may be discontinued for a specific period/indefinite period with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository.

In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

**Receiving Alerts :**

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

Signature of Sole/First Holder

Signature of Second Holder

Signature of Third Holder

7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

#### Fees :

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

#### Disclaimer :

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warrant the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository will not be liable for any unauthorized use or

access to the information and/or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by an third person.

#### Liability and Indemnity :

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

#### Amendments :

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

#### Governing Law and Jurisdiction :

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

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

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

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

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

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

DP ID	1	2	0	8	4	3	0	0	BO ID								
-------	---	---	---	---	---	---	---	---	-------	--	--	--	--	--	--	--	--

Sole/First Holder's Name : \_\_\_\_\_

Second Holder's Name : \_\_\_\_\_

Third Holder's Name : \_\_\_\_\_

Mobile No. on which messages are to be sent 

+	9	1											
---	---	---	--	--	--	--	--	--	--	--	--	--	--

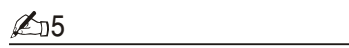

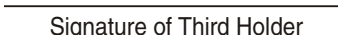
(Please write only the mobile number without prefixing country code or zero)

The Mobile Number is registered in the name of : \_\_\_\_\_

E-mail Id : \_\_\_\_\_

The E-mail id is registered in the name of : \_\_\_\_\_

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

IN CASE OF JOINT HOLDING, ALL JOINT HOLDERS MUST SIGN.

\*Please do not use correction fluid, all cuttings must be attested by all the joint holder(s).

Place : ..... Date : .....

**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 8<sup>th</sup> 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.

## FATCA-CRS Declaration

Please seek appropriate advice from your professional tax professional on your tax residency and related FATCA & CRS guidance

Name																
Place of Birth																
Country of Birth																
Nationality																
Constitute	<input type="checkbox"/> Individual <input type="checkbox"/> HUF <input type="checkbox"/> NRI <input type="checkbox"/> Foreign National <input type="checkbox"/> Corporate <input type="checkbox"/> Others (Pl. Specify) _____															

Are you a tax resident of any country other than India - ☐ Yes ☐ No

If Yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

S.No.	Country <sup>#</sup>	Tax Identification Number <sup>%</sup>	Identification Type (TIN or other, please specify)
1.			
2.			
3.			

<sup>#</sup> To also include USA, where the individual is a citizen / green card holder of the USA

<sup>%</sup> In case Tax Identification Number is not available, kindly provide its functional equivalent \$

### CERTIFICATION

I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I / We also confirm that I / We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

### FATCA & CRS - TERMS & CONDITIONS

Details under FATCA & CRS : The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account of any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e. within 30 days.

It is important that you respond to our request, even if you believe you have already supplied any previously requested information.

Date :

Place :

 06

Signature

To,  
**Finvasia Securities Pvt. Ltd.**  
FINVASIA CENTRE, D 179, Phase 8 B, (Sector 74)  
Mohali, Punjab-160055 (India)



**ACKNOWLEDGEMENT RECEIPT**

**Application No.**

Date\_\_\_\_\_

Dear Sir,

I/We hereby request you to kindly provide the Rights & Obligations of beneficial owner & depository participant as prescribed by SEBI and Depositories Documents in below mentioned manner:

☐ Electronically (E-mail)    ☐ Physically

Name of the Sole/First Holder	Name of the Second Joint Holder	Name of the Third Joint Holder



\_\_\_\_\_  
Signature of Sole/First Holder

\_\_\_\_\_  
Signature of Second Holder

\_\_\_\_\_  
Signature of Third Holder

## 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



(Client Signature)

## Most Important Terms and Conditions (MITC)

[Forming part of the Terms and Conditions for providing research services]

1. These terms and conditions, and consent thereon are for the research services provided by the Research Analyst (RA) and RA cannot execute/carry out any trade (purchase/sell transaction) on behalf of, the client. Thus, the clients are advised not to permit RA to execute any trade on their behalf.
2. The fee charged by RA to the client will be subject to the maximum of amount prescribed by SEBI/ Research Analyst Administration and Supervisory Body (RAASB) from time to time (applicable only for Individual and HUF Clients).  
Note:  
2.1. The current fee limit is Rs 1,51,000/- per annum per family of client for all research services of the RA.  
2.2. The fee limit does not include statutory charges.  
2.3. The fee limits do not apply to a non-individual client / accredited investor.
3. RA may charge fees in advance if agreed by the client. Such advance shall not exceed the period stipulated by SEBI; presently it is one quarter. In case of pre-mature termination of the RA services by either the client or the RA, the client shall be entitled to seek refund of proportionate fees only for unexpired period.
4. Fees to RA may be paid by the client through any of the specified modes like cheque, online bank transfer, UPI, etc. Cash payment is not allowed. Optionally the client can make payments through Centralized Fee Collection Mechanism (CeFCoM) managed by BSE Limited (i.e. currently recognized RAASB).
5. The RA is required to abide by the applicable regulations/ circulars/ directions specified by SEBI and RAASB from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. The RA will endeavor to promptly inform the client of any conflict of interest that may affect the services being rendered to the client.
6. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. No scheme of this nature shall be offered to the client by the RA.
7. The RA cannot guarantee returns, profits, accuracy, or risk-free investments from the use of the RA's research services. All opinions, projections, estimates of the RA are based on the analysis of available data under certain assumptions as of the date of preparation/publication of research report.
8. Any investment made based on recommendations in research reports are subject to market risks, and recommendations do not provide any assurance of returns. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report. Any reliance placed on the research report provided by the RA shall be as per the client's own judgement and assessment of the conclusions contained in the research report.
9. The SEBI registration, Enlistment with RAASB, and NISM certification do not guarantee the performance of the RA or assure any returns to the client.
10. For any grievances,  
Step 1: the client should first contact the RA using the details on its website or following contact details: (RA to provide details as per 'Grievance Redressal / Escalation Matrix')  
Step 2: If the resolution is unsatisfactory, the client can also lodge grievances through SEBI's SCORES platform at [www.scores.sebi.gov.in](http://www.scores.sebi.gov.in)  
Step 3: The client may also consider the Online Dispute Resolution (ODR) through the Smart ODR portal at <https://smartodr.in>
11. Clients are required to keep contact details, including email id and mobile number/s updated with the RA at all times.
12. The RA shall never ask for the client's login credentials and OTPs for the client's Trading Account Demat Account and Bank Account. Never share such information with anyone including RA.



(Client Signature)