

# SET OF ACCOUNT OPENING DOCUMENT

## FINVASIA SECURITIES PRIVATE LIMITED

**SEBI REGN NO.: INZ000176037**

**Research Analyst No.: INH000011927**

MCX Member Code : 55135

NCDEX Member Code : 01259

Clearing Member : Globe Commodities Ltd. (MCX & NCDEX 8550)

Regd. Address : 802, Ansal Bhawan, 16 K.G. Marg, C.P., New Delhi-1

### Corporate Office :

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

Phone : +91-9779 902 002, Fax : +91-172-6670070, E-mail : ccofspl@shoonya.com

**Registered Office** : #1108, Sector 21-B, Chandigarh - 160022

Trading Member with MCX & NCDEX

Compliance Officer's Details : Hardeep Singh, E-mail : ccofspl@shoonya.com Ph: +91- 9779 902 002, Fax : +91-172-6670070

### INDEX OF DOCUMENTS

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

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	KYC (Account Opening) Application Form	KYC form - Document captures the basic information about the constitute and an instruction / check list.	1-3
2.	Uniform Risk Disclosure Document (RDD)	Documents detailing Risk associated with dealing in the Commodities Market.	By Email
3.	Rights and Obligations of Members, AP and Clients	Document stating the Rights & Obligation of Member, Authorized Person and client for Trading on exchanges (including additional Rights and Obligations in case of Internet/Wireless Technology based Trading)	By Email
4.	Do's and Don'ts for the Investors	Document detailing Do's & Don'ts for Trading on exchange, for the education for the investors.	By Email
5.	Policies & Procedures	Policies and procedures as per Exchange.	By Email
6.	Other Details	Past Action, Dealing Through Other Member, Introducer Details etc.	4-6
7.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the Commodity Exchange, Brokerage/Operational charges & Intimation for Proprietary Trading.	7-7

#### VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER\*

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

#### Exchange Name

Multi Commodity Exchange of India Ltd.

National Commodity & Derivatives Exchange Ltd.

#### E-mail Id

grievances@mcxindia.com

ig@ncdex.com

#### Phone No.

022-67318888

022-66406789



☐ 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]

## 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/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository Participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark Sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

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

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

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

### D. Exemptions/clarifications to PAN

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

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

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

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

## TRADING ACCOUNT RELATED DETAILS

### A. OTHER DETAILS

Gross Annual Income Details (please specify)	Income Range per annum : <input type="checkbox"/> Below Rs. 1 Lac <input type="checkbox"/> Rs. 1 Lac to 5 Lac <input type="checkbox"/> Rs. 5 Lac to 10 Lac <input type="checkbox"/> Rs. 10 Lac to 25 Lac <input type="checkbox"/> >25 Lac                  OR
Net-Worth as on	(date)..... (Rs. ....) (Net worth should not be older than 1 year)
Occupation (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Farmer <input type="checkbox"/> Others. (Specify) _____
Please tick, as applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (PEP) <input type="checkbox"/> Not a Politically Exposed Person (PEP) <input type="checkbox"/> Not Related to Politically Exposed Person (PEP)

### B. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank Account Number	Account Type	MICR Number	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current		

• Provide a copy of cancelled cheque leaf/pass book/bank statement specifying name of the client, MICR Code or/and IFSC Code of the Bank.



### C. DEPOSITORY ACCOUNT(S) DETAILS, if available

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

• Provide a copy of either Demat Client Master or a recent holding statement issued by DP bearing name of the client.

### D. TRADING PREFERENCES

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

Sr. No.	Name of the National Commodity Exchanges	Date of consent for trading on concerned Exchange	Signature of the Client
1.	MCX (F/O)		
2.	NCDEX (F/O)		

### E. INVESTMENT / TRADING EXPERIENCE

<input type="checkbox"/> No Prior Experience <input type="checkbox"/> _____ Years in Commodities <input type="checkbox"/> _____ Years in other investment related fields
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### F. PAST REGULATORY ACTIONS

Details of any action/proceedings initiated/pending/taken by SEBI / Stock Exchange / Commodity Exchange / Any other authority against the client during the last 3 years :  _____ _____
--

**G. GST DETAILS (As applicable, State wise)**

Legal Name			
Trade Name			
GSTIN		Registration Date	
Name of the State		State Code	
Other State GSTIN		Registration Date	
Name of the State		State Code	

## H. DEALING THROUGH OTHER MEMBERS

Dealing through any other Member, provide the following details (in case dealing with multiple Members, provide details of all in a separate sheet containing all the information as mentioned below) :

Member's/Authorised Persons Name			
Exchange			
Exchange's Registration No.			
Concerned Member's Name with whom the AP is registered			
Registered Office Address			
	Tel.:		Fax
	E-mail		
Client Code			
Details of disputes / dues pending from/to such Member / AP:			

## I. INTRODUCER DETAILS

Name of the introducer			
Status of the Introducer	<input type="checkbox"/> Authorised Person	<input type="checkbox"/> Existing Client	<input type="checkbox"/> Others _____
Address and Phone No. of the Introducer			
		Sign. of the Introducer	

## J. ADDITIONAL DETAILS

<p>■ Whether you wish to receive communication from Member in electronic form on your Email-id.</p>	<p><input type="checkbox"/> Yes      <input type="checkbox"/> No</p> <p>(If yes then please fill in Appendix - A)</p>
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## K. NOMINATION DETAILS

<input type="checkbox"/> <b>I/We wish to nominate</b>										<input type="checkbox"/> <b>I/We do not wish to nominate</b>																					
Name of the Nominee																															
Relationship with the Nominee																															
PAN of Nominee																				Date of Birth of Nominee											
Address and Ph. No. of the Nominee																															

If Nominee is a minor, details of guardian :	
Name of the Guardian	
Address and Ph. No. of Guardian	
Sign. of Guardian	

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

Name		Name	
Signature		Signature	
Address		Address	

**DECLARATION**

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

Place	
Date	

 2

Client Signature

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client : \_\_\_\_\_

	<b>Document verified with Originals</b>
Name of the Employee	
Employee Code	
Designation of the Employee	
Date	
Signature	

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

**For Finvasia Securities Pvt. Ltd.**

Date \_\_\_\_\_

\_\_\_\_\_  
Signature of the Authorised Signatory  
Seal / Stamp of the Member



## TARIFF CHARGES

1. All charges (namely, Exchange Transaction Charges, Clearing Member Charges, SEBI Fee, etc.) and statutory taxes (GST and stamp duty, etc.) shall be charged as per rates applicable from time to time in addition to brokerage.
2. Brokerage/ operational cost of ₹5 or 0.03% (whichever is lower) plus GST will apply to executed orders in Equity Intraday, Futures, Currency and Commodity Derivatives trades. Flat ₹ 5 plus GST on per executed order in all Options.
3. Charges mentioned above are in respect of the services listed. Any charges for additional services provided to clients will be charged extra and communicated accordingly.
4. Late penalty of 2% per month calculated on the daily overdue balance shall be charged until actual realization.
5. There shall be no software charges, However in case of any change in future, clients will be informed with two months notice.

Shoonya(EXE/ WEB/ MOB) :- Zero Charges

6. I/We hereby authorize you to debit charges in respect of the pledge of securities against margin/settlement obligations to Exchanges, Clearing Members, Clearing Corporations, Banks, or any other Financial Institutions from my Trading account.

3

(Client Signature)



## ELECTRONIC CONTRACT NOTE (ECN) DECLARATION

To,

**Finvasia Securities Pvt. Ltd.**

FINVASIA CENTRE

D 179, Phase 8 B (Sector 74)

Mohali, Punjab 160055 (India)

Dear Sir,

I \_\_\_\_\_ a client with member M/S. \_\_\_\_\_  
of \_\_\_\_\_ Exchange undertakes as follows:

- I am aware that the member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am 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 find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out/ ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operation.
- My email id is\* \_\_\_\_\_. This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other Indian language known to me.
- I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.
- I/We am/are aware that this authorisation can be revoked any time by giving a notice in writing.

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

\*(The email id must be written in own handwriting of the client)

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

Unique Client Code : \_\_\_\_\_

PAN: \_\_\_\_\_

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

Signature of Client  \_\_\_\_\_

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

Verification of the client signature done by,

Name of the designated officer of the Member \_\_\_\_\_

Signature \_\_\_\_\_

## RUNNING ACCOUNT AUTHORISATION

To,

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

### **Finvasia Securities Pvt. Ltd.**

FINVASIA CENTRE

D 179, Phase 8 B (Sector 74)

Mohali, Punjab 160055 (India)

Dear Sir,

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

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
2. I/We request you to settle my fund once                      30 days or once in                      90 days or such other higher period as allowed by SEBI/Stock Exchange time to time.
3. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities Fund towards such obligations and may also retain the funds expected to be required to meet future margin obligations, calculated in the manner specified by the exchanges.
4. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 30 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office. The running account authorization provided by me shall continue and remain valid until it is revoked by me anytime in writing.

5

(Client Signature)

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

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

## 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 :

 6

Signature

# 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
<b>Mandatory Details</b>			
<b>1</b>	Name of the nominee(s) Mr./Ms.)		
<b>2</b>	<div style="display: flex; justify-content: space-between;"> <div>Share of each Nominee</div> <div>Equally <small>[If not equally, please specify percentage]</small></div> </div>	%	%
		Any odd lot after division shall be transferred to the first nominee mentioned in the form.	
<b>3</b>	Relationship with the Applicant (if any)		
<b>4</b>	Date of Birth {in case of minor nominee(s)}		
<b>5</b>	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}		
<b>6</b>	Date of Birth of Guardian {in case of minor nominee(s)}		
<b>7</b>	<div>Address of Nominee(s)/ Guardian in case of Minor</div> <div>City / Place: State &amp; Country:</div> <div>PIN Code</div>		
<b>8</b>	Mobile/Telephone No.of nominee(s)/ Guardian in case of Minor		
<b>9</b>	Email ID of nominee(s)/ Guardian in case of Minor		
<b>10</b>	<div>Nominee/Guardian (in case of Minor) Identification details – [Please tick any one of following and provide details of same]</div> <div> <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

## ACKNOWLEDGEMENT RECEIPT

To,

**Finvasia Securities Pvt. Ltd.**

FINVASIA CENTRE

D 179, Phase 8 B (Sector 74)

Mohali, Punjab 160055 (India)



**Application No.**

Date\_\_\_\_\_

Dear Sir/ Madam,

I hereby opt to get the document listed below in -

☐ Electronic Form      ☐ Physical Form

1. Uniform Risk Disclosure Document for Commodities Market.
2. Rights and Obligations of Members, Authorized Persons and Clients (including additional rights & obligations in case of internet / wireless technology based trading).
3. Guidance Note - Do's and Don'ts for dealing in Commodities Market for Investors.
4. Policies and Procedures.
5. Additional Risk Disclosure Document for Option Trading.

Yours faithfully,

7

Client Signature

Client Name \_\_\_\_\_

## 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)