

SET OF ACCOUNT OPENING DOCUMENT

Name of Member : FINVASIA SECURITIES PVT LTD
Membership No. : NSE : 14846, BSE : 4043
SEBI Registration No. : INZ000176037
Research Analyst No. : INH000011927

Clearing Member Name & Membership No. : FINVASIA SECURITIES PVT LTD (CODE : M51912)

Corporate office : FINVASIA CENTRE, D 179, Phase 8 B (Sector 74) Mohali, Punjab 160055, India
 Phone:- +91 9779 902 002, Web Site :- www.shoonya.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

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.	1-2
2.	Uniform Risk Disclosure Document (RDD)	Documents detailing Risk associated with dealing in the Equity 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.	3-5
7.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the Stock Exchange, Brokerage/Operational charges & Intimation for Proprietary Trading.	6-6

VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER*

8.	Standing Instructions/Authorization Letter	7-7
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Exchange Name
 National Stock Exchange of India Ltd. (NSE)
 Bombay Stock Exchange Ltd. (BSE)

E-mail Id
 ignse@nse.co.in
 is@bseindia.com

Phone No.
 022-26598190
 022-22728097

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

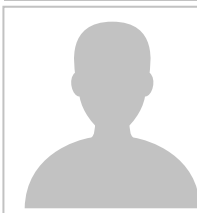
 (Mandatory for KYC update request)

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*	<input type="text"/>
Tax Identification Number or equivalent <i>(If issued by jurisdiction)*</i>	<input type="text"/>
Place / City of Birth*	<input type="text"/>
ISO 3166 Country Code of Birth*	<input type="text"/>

☐ **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*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)		
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input type="text"/>	<i>please specify</i>
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

Address

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

☐ 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.

Date : - - Place :



[Signature / Thumb Impression]

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]

TRADING ACCOUNT RELATED DETAILS

(For Individuals)

A. 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 <input type="checkbox"/> Others - in case of NRI / NRE / NRO		

B. DEPOSITORY ACCOUNT(S) DETAILS

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			

C. TRADING PREFERENCES

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

Exchanges	NSE, BSE
<input type="checkbox"/> ALL Segments	<input type="checkbox"/> Cash/Mutual Fund <input type="checkbox"/> F&O <input type="checkbox"/> CDS

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

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.

D. FINANCIAL & OCCUPATION DETAILS

Gross Annual Income Details : Income Range per annum : ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac
☐ Rs. 5 Lac to 10 Lac ☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ >1 Crore

Net Worth (Net worth should not be older than 1 year) Amount Rs.....
as on (date) (Compulsory for Non-Individuals)

Occupation : ☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional
☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others_____Please Specify

Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

Any other information : _____

E PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years :

F. DEALINGS THROUGH SUB-BROKES AND OTHER STOCK BROKERS

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

Sub-broker's Name			
SEBI Registration number			
Registered office address			
Ph.		Fax	
		Website	
Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, 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/sub-broker			

G. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)	<input type="checkbox"/> Physical Contact Notes <input type="checkbox"/> Electronic Contract Note
Specify your Email id, if applicable	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)	
Number of years of Investment/Trading Experience	

H. INTRODUCER DETAILS (optional)

Name of the introducer	
Status of the Introducer	<input type="checkbox"/> Sub Broker <input type="checkbox"/> Remisier <input type="checkbox"/> Auth. Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others_____
Address and Phone No. of the Introducer	
Sign. of the Introducer	

I. NOMINATION DETAILS (for individuals only)

<input type="checkbox"/> I/We wish to nominate <input type="checkbox"/> I/We do not wish to nominate	
Name of the Nominee	
Relationship with the Nominee	
PAN of Nominee	
	Date of Birth of Nominee
Aadhaar 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 document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Place _____

Date =

D	=	D	=	M	=	M	=	Y	=	Y	=	Y
---	---	---	---	---	---	---	---	---	---	---	---	---



Signature of Client / All Authorized Signatory (ies)

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

	Document verified with Originals	Client Interviewed By	In-Person Verification Done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

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

For **FINVASIA SECURITIES PVT. LTD.**_____
Signature of the Authorised Signatory

Date _____

Seal / Stamp of the Stock Broker

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)

STANDING INSTRUCTIONS / AUTHORIZATION LETTER

To,

Finvasia Securities Pvt. Ltd.

FINVASIA CENTRE

D 179, Phase 8 B (Sector 74)

Mohali, Punjab 160055 (India)

Date : _____

Place : _____

Sub : Standing Instructions / Authorization Letter

I/We have been / shall be dealing through you as my broker on the Capital Market and/or Futures & Options Segments / Currency Derivatives Segments. As my broker i.e. agent I/we direct and authorize you to carry out trading / dealings on my/our behalf from telephone/mobile calls made by me and/or through instructions emailed by me as per instructions given below

Since you are issuing contract notes bearing order numbers and trade numbers on a daily basis, please do not issue the order/trade confirmation slips as generated from the Trading Terminal.

You have discounted to me/us that you undertake proprietary trading.

Thanking you

Yours faithfully

4

(Client Signature)

VERBAL ORDER ACCEPTANCE AUTHORIZATION

To,

Finvasia Securities Pvt. Ltd.

FINVASIA CENTRE

D 179, Phase 8 B (Sector 74)

Mohali, Punjab 160055 (India)

Date : _____

Place : _____

Sub : Verbal Order Acceptance Authorization

I/We have been / shall be dealing through as my / our broker on the Capital Market, Mutual Fund and/or Futures & Options Segments /Currency Derivative Segment. As my broker i.e. agent I/we direct and authorize you to carry out trading / dealings on my/our behalf from telephone/mobile calls made by me and/or through instructions emailed by me as per instructions given below

I/We agree and acknowledge the it is advised and preferred you that I/We given instructions for order placement/modification and cancelation in writing and to avoid disputes, I/we must given instructions in exactly the format given below in duplicate (carbon copy/photocopy) and take signatures of your duly authorized officers at the branch along with your company stamp on the carbon/photocopy of the instructions in acknowledgement of receipt of my/our instructions. However as I/we shall be dealing by ordering over phone and even if I/we visit the branch, the fluctuations in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation. I/We hereby authorize you to accept my / my authorized representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/We shall be liable for all losses, damages, and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above

Thanking you

Yours faithfully



7 (Client Signature)

RUNNING ACCOUNT AUTHORISATION

TO,

Date: _____

Finvasia Securities Pvt. Ltd.

FINVASIA CENTRE

D 179, Phase 8 B (Sector 74)

Mohali, Punjab 160055 (India)

Sub : Running Account Authorisation

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 in _____ 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 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.

Thanking you

8

_ Yours faithfully,

(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 [#]	Tax Identification Number [%]	Identification Type (TIN or other, please specify)
1.			
2.			
3.			

[#] To also include USA, where the individual is a citizen / green card holder of the USA

[%] 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 :

 9

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
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 <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.	
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}		
7	<div>Address of Nominee(s)/ Guardian in case of Minor</div> <div>City / Place: State & Country:</div> <div>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> <input type="checkbox"/> Photograph & 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,

I/We hereby wish to receive the below mentioned documents either electronically (email) or physically.

1. Rights & Obligation of Stock Broker/Trading Member, Sub broker and client for Trading on exchanges (including additional Rights and Obligations in case of Internet/Wireless Technology based Trading)
2. Risk Disclosure Document (RDD) & Documents detailing Do's & Don'ts for Trading on exchange & Policies and procedures of the stock broker.

☐ Electronically (E-mail) ☐ Physically

 10

Client Signature

Client Name _____

AUTHORISATION FOR ELECTRONIC COMMUNICATION

To,

Date : _____

Finvasia Securities Pvt. Ltd.

FINVASIA CENTRE

D 179, Phase 8 B (Sector 74)

Mohali, Punjab 160055 (India)

Sub : Authorisation for Electronic Communication

Dear Sir,

I/We understand that I/We have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/We hereby opt for receipt of contract notes in electronic form as well as all other communications including account statement, holding statement, trade, order confirmations and any other notices also electronically.

I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account on your record for sending the contract notes and other communications to me/us.

1. Email id :

2. Alternate Email id:

I/We agree that the Log Reports of your dispatching software shall be a conclusive proof of dispatch of Contract Notes and any other electronic communication to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt / delayed receipt for any reason whatsoever.

I/We also agree that non-receipt of bounced mail notification by the stock broker shall amount to delivery at my/our e-mail id.

Please treat this authorisation as written ratification of my/our verbal directions / authorizations given and carried out by you earlier. I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our directions given above.

I/We agree to inform you any change in my email in future either in physical mode by regd. post or by hand delivery or through an email from my email id registered with you.

Thanking you

Yours faithfully,

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(Client Signature)

Client Name : _____

Client Code : _____

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date	D	D	M	M	Y	Y	Y	Y
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DP ID	1	2	0	8	4	3	0	0	Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To,

Finvasia Securities Pvt. Ltd.

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

OPTION 1 :

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account through I/We have issued a Power of Attorney (POA) in favour of Finvasia Securities Pvt. Ltd. for executing delivery instructions for setting stock exchange trades (settlement related transactions) effected through such Clearing Member.

OR**OPTION 2 :**

I/We do not require the Delivery Instruction Slip (DIS) for the time being. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date since I/we have issued a POA/registered for eDIS execute in favour of/with Finvasia Securities Pvt Ltd for executing delivery instruction for selling stock exchange trades (settlement related transactions) effected through such POA / eDIS .

I/We hereby select Option 1 Option 2

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Signature of Sole/First Holder

Signature of Second Holder

Signature of Third Holder

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.

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
 - 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)