

INDEX OF DOCUMENTS
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S.N.	Name of the Document	Brief Significance of the Document	Pg. No
1.	Account Opening Form	A. CKYC & KYC form - Document captures the basic information about the constituent and an instruction/checklist.	2-9
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/checklist.	10-12
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	SEPARATE COPY FOR CLIENT
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	15
DOCUMENTS FOR DEMAT ACCOUNT (IF DP SERVICES AVAILED THROUGH PRARAMBH)			
7.	Account Opening Form	Additional information about the constituent relevant to demat	18-23
8.	Terms & Condition for receiving SMS alerts	Terms & Condition for receiving alerts on Debits and or Credits in the Demat a/c. of client through SMS from Dp	25-26
9.	Common Mobile no. / Email ID	Common Mobile no. / Email ID across family accounts	27
10.	Tariff sheet	Charges payable by client for availing DP services	28-29
11.	DDPI	For transfer of securities towards deliveries/settlement	30-31
12.	Option Form for issue of DIS	Option Form for issue of DIS Booklet	32
13.	Basic Services Demat Account	As per format	33
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
14.	Running Account Authorisation	To maintain fund, securities on running account basis	34
15.	Mandate to issue ECN	This mandate is to authorisation to issue contract notes in digital mode. It provides terms and conditions for the issuance of digital contract note.	35
16.	Annexure Aadhaar Consent Letter	Consent to use Aadhaar card copy.	36
FORMATS			
17.	Format of Declaration by HUF	To be provided on letterhead of HUF firm (if applicable)	37
18.	FATCA/CRS Declaration (Ind.)	FATCA Declaration for where client hold tax residency	38
19.	FATCA/CRS Declaration (NI)	FATCA Declaration for where client hold tax residency	39-41

Name of stock broker/ trading member/clearing member	PRARAMBH SECURITIES PRIVATE LIMITED
SEBI Registration No. and date	
NSE Cash, F&O, Currency, Commodity BSE Cash, F&O, Currency, Commodity MCX Commodity	INZ000006130 & Dated: 06-04-2015
Member Code No. NSE: 90052 • BSE: 6639 • MCX: 56105	
Clearing member of (NSE & BSE - F&O, CUR): Globe Capital Market Ltd. • SEBI Regn. No.: INZ000177137 Clearing member of (NSE & BSE Commodity): Globe Commodities Ltd. • SEBI Regn. No.: INZ000024939 609, Ansal Bhawan, 16 K.G Marg, New Delhi- 110001 • Tel.: 011-30412345, Fax No.: 011-23720883	
Registered office address:	B/1901, Paarijat Eclat, B/H Iscon Temple, Ambali-Bopal Road, Ahmedabad - 380059, Gujarat, India CIN: U74992GJ2010PTC125116
Corporate office address:	1401, Excel Plaza, 14th Floor, 90 Feet Road, Pant Nagar, Ghatkopar East, Mumbai - 400075 • Tel No.: 022-62595900, 022-62595999 E-mail: contact@prarambhsec.com • Website: www.prarambhsec.com CIN: U74992WB2010PTC152123
Compliance officer name: phone no. & email id:	Nikunj Parikh 9892627952 nikunj@prarambhsec.com
Ceo name: phone no. & email id:	Jayesh G Kuwadia 9769350222 jayesh@prarambhsec.com
For any grievance/dispute please contact PRARAMBH SECURITIES PRIVATE LIMITED at the above address or email id: ig@prarambhsec.com and Phone no. 91-022-62595900. In case not satisfied with the response, please contact the concerned exchange(s) at BSE Tel:- 022 22728097, 22728517 E-mail Id :- is@bseindia.com, NSE Toll Free No.: 18002660058 Fax: (022) 26598191 • E-mail Id:- ignse@nse.co.in, Multi Commodity Exchange of India Ltd. Tel.:- 022 6649 4070 • E-mail Id:- grievance@mcxindia.com and on SEBI for filing complaints on SCORES Tel.: 1800 266 7575 or 1800 22 7575 • www.scores.gov.in	

KRA Registration details (For office purpose only)

If client is already registered with KRA please fill in below details:

NDML CVL Others _____ (Please tick (✓) any one)

(Please furnish photocopy of KRA Registration letter)

KRA Registration No.: _____

Date of Registration:

D	D	M	M	Y	Y	Y	Y
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Note: Any correction kindly counter signature, please do not use white ink.

PROPRIETARY TRADE DECLARATION

In terms of circular no. SEB/MRD/SE/CIR-42/2003 dated 19 Nov. 2003 issued by Securities Exchange Board of India the broker member is obliged to disclosed to its clients / constituents whether the member is trading in his own account or not. Accordingly we hereby inform you that the member, its directors or its associates do invest / trade in capital / currency / derivatives segment / commodity. The same may please be noted.

A Clarification / Guidelines on filling 'Personal Details' section

- 1 **Name:** The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory: **Spouse's name or Father's name and Mother's name is Mandatory.**

B Clarification / Guidelines on filling 'Current address details' section

- 1 In case of deemed POA such as utility bill, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address'.
Document Code Description
 - 01 Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
 - 02 Property or Municipal Tax receipt.
 - 03 Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
 - 04 Letter of allotment of accommodation from employer issued by State Government or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and license agreements with such employers allotting official accommodation.
- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document issued by the issuing authority of such document with its valid digital signature including issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of information by intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Id entities Data Repository.

C Clarification / Guidelines on filling 'Contact details' section

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

D Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person, if available.

E Clarification on Minor

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/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 NRIs, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are 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.

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

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

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 apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

- (*Sufficient documentary evidence in support of such claims to be collected.)
1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
 2. Investors residing in the state of Sikkim.
 3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
 4. SIP of Mutual Funds 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.

Annexure - A

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

Name of Applicant: _____ PAN of the Applicant: _____

Sr. No.	PAN	Name	DIN (For Directors) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph

Name & Signature of the Authorised Signatory(ies) _____ Date _____

BANK ACCOUNT(S) DETAILS																														
No.	MICR No.								Bank Name, Branch Add.								A/c Type				Account No.						IFSC Code			
1																														
2																														
3																														
4																														
5																														

Please provide Cancelled Cheque leaf for MICR & IFSC Code

UPI Opt Flag Opted Not Opted

DEPOSITORY ACCOUNT(S) DETAILS															
Sr. No.	Depository Participant Name					DP ID No.			BO ID		Depository Name				
1*	Prarambh Securities Pvt. Ltd.					1	2	0	8	3	9	0	0	CDSL	
2											NSDL/CDSL				
3											NSDL/CDSL				
4											NSDL/CDSL				
5											NSDL/CDSL				

*Shares bought by you will be transferred to your DP A/c stated by you at Sr. No. 1

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		NSE & BSE
All Segments	Cash/Mutual Fund	F&O	Currency Derivatives	Commodity
<input type="checkbox"/> (4)	<input type="checkbox"/> (5)	<input type="checkbox"/> (6)	<input type="checkbox"/> (7)	<input type="checkbox"/> (8)

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

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:

OTHER DETAILS
<p>1. Gross Annual Income Details (please specify): Income Range per annum: <input type="checkbox"/> Below Rs 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25 Lacs-1 Cr. <input type="checkbox"/> > 1 Cr</p> <p>Net-worth as on (date) _____ (_____) (Net worth should not be older than 1 year)</p> <p>2. 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"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others _____</p> <p>3. Is the entity involved/providing any of the following services <input type="checkbox"/> YES <input type="checkbox"/> NO (For Non-Individuals only) - For Foreign Exchange / Money Changer Services <input type="checkbox"/> YES <input type="checkbox"/> NO – Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) <input type="checkbox"/> YES <input type="checkbox"/> NO - Money Lending / Pawning <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>4. Please tick, if applicable: Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP)</p> <p>5. Any other information: _____</p>

DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS (If dealing through Sub-brokers provide details)							
Sub-Broker Name					BSE SEBI Reg. No.		
Regd. Off.					NSE SEBI Reg. No.		
Address					Remisier/AP (BSE)		
Signature of Sub-Broker X			Tel. No.		Remisier/AP (NSE)		
			Fax No.				
			Website				
Whether dealing with any other stock broker/sub-broker (if in 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:							
Pursuant to SEBI Circular dt.3.8.2018, w.e.f.1.4.2019 Sub-Broker has been migrated to Authorised Person							
ADDITIONAL DETAILS							
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):							<input type="checkbox"/> Physical <input type="checkbox"/> Electronic
Specify your Email id, if applicable:							
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):							<input type="checkbox"/> YES <input type="checkbox"/> NO
Number of years of Investment/Trading Experience:							
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: Details as per Annexure - A							
Any other information							
INTRODUCER DETAILS (Optional)							
Name of the Introducer				Signature of Introducer X			
Add. / Tel.							
Status of the Introducer: Sub Broker / Remisier / Authorized Person / Existing Client / Others, please specify_____							
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.							
Name				Signature of client		(9)	
Place		Date					

FOR OFFICE USE ONLY

UCC Code allotted to the Client:			
	Documents verified with Originals	Client Interviewed / Approved by	In person Verification done by
Name of the employee			
Signature			
Designation of the employee			
Employee Code			
Date			

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.

Date: _____ Signature of the Authorised Signatory Seal/Stamp of the stock broker

INSTRUCTIONS/ CHECK LIST**1. Additional documents in case of trading in derivatives segments - illustrative list:**

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

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

2. Self-certified copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted. (Not more than 4 months old)

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

4. For individuals:

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

5. For non-individuals:

- Form need to be initialized by all the authorized signatories.
- Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

POLICIES AND PROCEDURES (MANDATORY) OF PRARAMBH SECURITIES PVT. LTD.

a. Refusal of orders for penny stocks:

Although, the term 'Penny Stock' has not been defined by BSE / NSE or any stock exchanges, SEBI a penny stock generally refers to a stock which has following mentioned characteristics:

- Has small market capitalization;
- Trades at a price less than its face value;
- Has unsound fundamentals;
- Is illiquid (A list of illiquid securities is jointly released by NSE & BSE from time to time.)
Prarambh Securities Pvt. Ltd. recognizes that it is client's privilege to choose shares in which he/she would like to trade. However, Prarambh Securities Pvt. Ltd. like to have special attention to dealing in "Penny stocks".
- Prarambh Securities Pvt. Ltd. may refuse to execute any clients orders in penny stocks without assigning any reason for the same.
- Any large order for purchase or sale of a "Penny stocks" should be referred to Head - Dealing, such orders can be put in the market for execution.
- Clients must ensure that trading in "Penny stock" doesn't result in creation of artificial volume or false or misleading appearance of trading. Further, clients should ensure that trading in "Penny stock" doesn't operate as a device to inflate or depress or cause fluctuations in the price of such stock.
- Clients are expected not to place orders in penny stocks at prices which are substantially different from the prevailing market prices. Any such order is liable to be rejected at the sole discretion of Prarambh Securities Pvt. Ltd.
- In case of sale of penny stocks, client should ensure delivery of shares to Prarambh Securities Pvt. Ltd. before the pay-in date.

b. Setting up client's exposure limit:

- Exposure limit for each client is determined by the Risk management Department based on Net-worth information, client's financial capacity, prevailing market conditions and Margin deposited by client in the form of funds/securities with the Prarambh Securities Pvt. Ltd. These limits may be set exchange-wise, segment-wise, & scrip-wise.
- Prarambh Securities Pvt. Ltd. retains the discretion to set and modify from time to time any clients exposure limit decided as above.
- The limits are determined by Risk Management Department based on the above criteria and payment history of the client in consultation with Sales/Sales trader.
- Whenever, any client has taken over or wants to take exposure in any security, Prarambh Securities Pvt. Ltd. may call for appropriate margins in the form of early pay-in of shares or funds before or after execution of trades in the Cash segment. In case of any margin shortfall, the clients are told to reduce the position immediately or requested to deposit extra margin to meet the shortfall. Otherwise, Prarambh Securities Pvt. Ltd. may refuse to trade on behalf of such client in its own discretion.

c. Applicable brokerage rate:

- The applicable brokerage rate is mentioned in the Client registration form and any future change in the brokerage rate is communicated to the client in writing & should be with clients consent.
- The maximum brokerage chargeable will not exceed as prescribed by SEBI and exchanges.

d. Imposition of penalty / delayed payment charges by either party, Specifying the rate and the period:

- Penalty and other charges levied by Exchanges pertaining to trading of the client shall be recovered from the respective client.
- If there is delay on part of client in satisfying his/her margin obligation or settlement obligations, then, Prarambh Securities Pvt. Ltd. shall levy interest at the rate of upto 24% p.a. on such shortage amount for the delayed period on such client. Prarambh Securities Pvt. Ltd. shall recover such delayed payment charges from the client by debiting the client's account.

Stock is given as margin the member can charge from 0.1% to 12% p.a. as interest on F&O margin.

- No interest or charges will be paid by Prarambh Securities Pvt. Ltd. to any client in respect of retention of funds or securities towards meeting future settlement obligations and in respect of running account authorizations.

e. Right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non payment of client's Dues to the extent of settlement/margin obligation:

Prarambh Securities Pvt. Ltd. shall have the sole discretion to square off the open position of the Client and/ or sell

clients' securities (including securities maintained as margin with Prarambh Securities Pvt. Ltd. and securities lying in client's beneficiary/ demat account) in case the Client fails to meet its settlement/ margin obligations in time. The specific securities to be sold and the positions to be squared off shall be decided solely by Prarambh Securities Pvt. Ltd. Further, the square off of client's open position or the selling of securities may be executed on best effort basis on such Exchanges and at such price as may be decided by Prarambh Securities Pvt. Ltd. Prarambh Securities Pvt. Ltd. shall have no obligation of communicating the same to the Client. Prarambh Securities Pvt. Ltd. shall not be responsible for any losses, delays, brokerage, other charges, margin shortfall penalties etc. incurred by the Client due to such squaring off of the open position of the client.

Prarambh Securities Pvt. Ltd. reserves the right to square off client's open positions or sell clients' securities under following circumstances:

- (i) Where the limits given to the Client have been breached.
 - (ii) Where the Client has defaulted on their existing obligation and/or had failed to make payments/deliver securities to Prarambh Securities Pvt. Ltd. within the stipulated time period.
 - (iii) Where the margin or security placed by the Client with Prarambh Securities Pvt. Ltd. falls short of the applicable minimum margin as may be required to be maintained by the client.
 - (iv) Where Mark to Market Loss on the open position has reached 80% of the margins placed with Prarambh Securities Pvt. Ltd. and the Client(s) have not taken any steps either to replenish the margin or reduce the Mark to Market Loss.
 - (v) if the open position is neither squared off nor converted to Delivery by Client(s) within the stipulated time.
- Prarambh Securities Pvt. Ltd. shall not be hold responsible for any losses, brokerage, other charges, margin shortfall penalties etc.

f. Shortages in obligations arising out of internal netting of trades:

- To determine the net obligation of a broker / trading cum clearing member (for securities and funds) in a settlement, clearing house does the netting of trades at the broker level. It is possible that a broker's net obligation towards clearing house may be nil but due to default by one or more clients in satisfying their obligations towards the broker, the broker internally might have shortages to fulfill its obligation towards the other client(s). In such situation, Prarambh Securities Pvt. Ltd. shall endeavor to collect the securities from the selling client and deliver it to the purchasing client within 48 hours of the settlement date. In case the selling client is unable to deliver the securities within 48 hours, then Prarambh Securities Pvt. Ltd. shall attempt to purchase the security from the market and deliver it to the purchasing client. If Prarambh Securities Pvt. Ltd. is unable to obtain the securities from the market, then the transaction will be closed out as per the auction rate prescribed by the Exchange for that scrip and the closing amount will be credited to the purchasing client and same will be debited to the selling client.

g. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of the client

Prarambh Securities Pvt. Ltd. shall have absolute discretion and authority to limit client's volume of business or to close any existing position of a client without giving any prior notice to the client under following mentioned conditions:

- Extreme volatility in the market or in particular scrip or in the F&O segment.
- If there is shortfall in the margin deposited by client with Prarambh Securities Pvt. Ltd.
- If there is insider trading restrictions on the client.
- If there are any unforeseen adverse market conditions or any natural calamities affecting the operation of market.
- If there are any restrictions imposed by Exchange or Regulator on the volume of trading outstanding positions of contracts.
- If the client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
- If Prarambh Securities Pvt. Ltd. has reached its limit in that scrip.
- If the clients has breached the client-wise limit.
- If the client has taken or intends to take new position in a security which is in the ban period.
- If due to abnormal shortfall in the market, if market are closed.

h. Temporarily suspending or closing a client's account based at the Client's request:

- Any client desirous of temporarily suspending his or her trading account has to give such request in writing to the management. After management's approval, any further dealing in such client's account will be blocked. Whenever, any suspended account wants to resume trading, request in writing should be made to management

and management may ask for updated financial information & other details for reactivating such account. After receiving necessary documents, details etc. and approval from the management, client is reactivated & is allowed to carry out transaction.

- Similarly, any client desirous of closing his/her account permanently is required to inform in writing and the decision in this regard is taken by management. After necessary approval from the management, the client code is deactivated. Only after scrutinizing the compliance requirements and "no pending queries" confirmation is taken, securities and funds accounts are settled.

i. Deregistering a Client

Prarambh Securities Pvt. Ltd. may, in its absolute discretion, decide to deregister a particular client. The illustrative circumstances under which Prarambh Securities Pvt. Ltd. may deregister a client are given below:

- SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market.
- Such client has been indicated by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guideline or circular governing securities market.
- Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
- Such client's name appears in the UN list of prohibiting entities or SEBI debarred list.
- Such client's account has been lying dormant for a long time or client is not traceable.
- Such client has declared insolvent or any legal proceedings to declare him/her as such have been intended.
- Such client has been irregular in fulfilling obligations towards margin or settlement dues.
- Such client has a tainted reputation and any business relationship with such clients is likely to tarnish the reputation of Prarambh Securities Pvt. Ltd. or may act as detriment to Prarambh Securities Pvt. Ltd.'s prospects.

J. Inactive Client Account

Client account will be considered as inactive if the client does not execute a single trade during the period of 12 months from the last trade. In such cases, the client has to make a written request for reactivation of his trading account, with recent proofs and any upgradation in the KYC form.

Return of client assets:

- When a client is declared as inactive all the securities of the client are transferred to the demat account of the client. The funds belonging to the client shall be returned to the client. If for any reason the funds and securities of the client cannot be transferred to the client's bank account or demat account then the same shall be transferred into a separate account of the organization. The funds and securities shall be held in the separate account until the time the organization hears from the client or their representatives.

Any trade related outstanding dues in the client's account will be communicated and collected from the client and the client will be liable to pay such dues immediately on receiving such communication.

I/We have fully understood the above and do hereby sign the same. These policies and procedures may be amended unilaterally by the broker, provided the amendment is informed to me / us and is preceded by a notice and consent is obtained from clients as per applicable laws, rules and regulations of exchange/SEBI. These policies and procedures shall always be read alongwith this client registration form and shall be referred to while deciding any dispute or claim between me / us and broker before any regulator or arbitrator or court of law.



(10)

(Signature of the constituent)

BROKERAGE AND STATUTORY CHARGES

Further, I agree to the following terms of doing business


Segment	Sq. off %		Sq. off Min (ps)		Settlement %		Settlement Min (ps)	Delivery %	Delivery Min (ps)
	Buy	Sell	Buy	Sell	Buy	Sell			
BSE Cash									
NSE Cash									
NSE Futures									
NSE Options									
NSE Curr.									
NSE Curr. Opt.									
NSE Commodity									
BSE Futures									
BSE Options									
BSE Curr.									
BSE Curr. Opt.									
BSE Commodity									

The above given brokerage will be inclusive/exclusive of the following charges.

	BSE Cash	NSE Cash	NSE Futures	NSE Options	NSE Currency	NSE Currency Opt
Transaction charges						
Sq. up Stamp Duty						
Del. Stamp Duty			N. A.	N. A.	N. A.	N. A.
STT						
GST						
SEBI Fees						

	BSE Futures	BSE Options	BSE Currency	BSE Currency Opt	BSE Commodity	NSE Commodity
Transaction charges						
Sq. up Stamp Duty						
Del. Stamp Duty	N. A.	N. A.	N. A.	N. A.		
STT						
GST						
SEBI Fees						

- Note:**
1. Inter settlement / DP transaction charges arising out of purchase / sell transactions effected by constituents will be debited to Constitute Account.
 2. The above charges are subject to change by the regulatory authorities or Government agencies.
 3. Brokerage charged shall not exceed the maximum limit as prescribed by SEBI/Exchanges.
 4. All regulatory and statutory taxes/charges shall be levied at actuals, at the rate prevailing from time to time.

Signature of the Client  (11) _____

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INSTRUCTIONS FOR THE APPLICANTS FOR ACCOUNT OPENING

Applicant shall fill up the KYC Application form as specified by the KYC Registration Agency for individuals or for Non-Individuals as the case may be and additional KYC Form for opening a Demat Account for Individuals (Annexure 2.1) or for Non-Individuals (Annexure 2.2) and submit the same to the DP. The applicant should submit any one of the documents as valid Proof of Identity and Proof of address as specified by SEBI from time to time. If the investor is already KRA compliant, the investor should disclose such details of KRA with whom he / she is registered. Such investor need not submit KYC documents and KYC application form again. A Power of Attorney holder cannot open a demat account on behalf of the BO. DP must collect separate KYC application forms from sole / first holder, second holder and third holder in case of Joint Accounts. In case, if sole holder is a minor, KYC application form should be collected from the guardian also. Separate KYC application form to be collected from the HUF entity, Karta, Trust and Trustees in case of unregistered Trust and Partnership Firms. In order to open an account, the investor needs to fill up KYC Application form (if not KRA compliant) and Additional KYC form for opening a demat account. As per the format provided by CDSL (Annexures 2.1 or 2.2). The investor shall complete the standard form in all respects and submit the same to the DP along with the relevant documents as prescribed by SEBI vide circular no. MIRSD/SE/CIR-21/2011 dated October 5, 2011 & circular no. MIRSD/CIR-26/2011 dated December 23, 2011. However, the DPs can obtain a single form from the CM for opening the multiple accounts of same exchange, e.g. CM Principal and CM USA accounts for BSE and CM Clearing Member for exchanges other than BSE. Instructions to the applicants / BOs for account opening as given in Annexure 2.3 may also be printed on the account opening forms or given to the BOs as a separate sheet along with the accounting form. Those section of the application form, which are not relevant to any particular type of BO, shall be marked "Not Applicable". BO must provide photocopies of documents submitted on regular paper and not on thermal facsimile paper.

Obtaining PAN Card details of all holders is compulsory for all categories of demat account holder (s) & updation of the same in CDSL system. In some cases, the PAN is not required to be entered. Such cases are to be handled by entering appropriate exemption code. The exemption codes provided are as follows:

Exemption Code	D	G	P	S	U	H
Exemption Description for the account holder	Custodian	Governor	President of India	Sikkim Resident	UN entities / Multilateral Agencies	Holder Deceased

CHECK-LIST → (All the documents must be self attested by applicant)

(A) Correspondence Address

- This is applicable to all types of investors. • If correspondence address of the BO is not the same as permanent address, then the DP shall obtain proof of correspondence address and enter the same in the system, in case the BO is not registered with KRA.
- If the BO is registered with KRA and wants to use the same correspondence address mentioned in the KRA system, the BO will inform the DP accordingly. • If the BO is registered with KRA and does not want to use the correspondence address mentioned in the KRA system, the BO will inform the DP and submit SEBI specified proof of address document for the address to be entered on CDSL system.
- As per SEBI Circular No. CIR/MRD/DP/37/2010 dated December 14, 2010, address of a third party as a correspondence address, may be captured in a BO account provided that the Depository Participant (DP) ensures that all prescribed 'Know Your Client' norms are fulfilled for the third party also. The DP shall obtain proof of identity and proof of address for the third party. The DP shall also ensure that customer due diligence norms as specified in Rule 9 of Prevention of Money Laundering Rules, 2005 are complied with in respect of the third party.
- Where third party address is accepted as correspondence address, the DP shall ensure that proof of permanent address for the BO has been obtained and the same has been entered in the system. DPs should ensure that the statement of transactions and holdings are sent to the BO's permanent address atleast once in a year. • In case of PMS accounts, portfolio manager's address cannot be captured as correspondence address.

(B) Minor Details

The minor shall be the first and sole holder in the account i.e. there shall not be any joint accounts where a minor is a First / Second / Third joint holder. PAN card details of minor have to be entered in CDSL system.

In case of death of Guardian of existing Minor account holder:

In the case of death of the guardian of an existing minor account holder, the following procedure shall be followed:

- i. Original Death Certificate of the deceased Guardian or a copy of the same, duly notarized or attested by a Gazetted Officer.
- ii. The minor's account shall be frozen under the appropriate reason code till the new guardian has completed all formalities.
- iii. Original or copy of the Court Order (duly notarized or attested by a Gazetted Officer), if the new guardian has been appointed by the Court.
- iv. The new guardian shall submit a new account opening form duly complete in all respects along with KYC application form or details of KRA registered with.
- v. DP has to provide a copy of Rights and Obligations document to the new guardian and keep an acknowledgement of the same on record.
- vi. The new guardian shall submit a fresh Nomination Form for the minor's account.
- vii. After verification of the AOF and documentation, details of the Guardian of the Minor account holder shall be suitably modified in the CDSL system.
- viii. The signature of the deceased guardian shall be deleted and the signature of the new guardian shall be recorded in the CDSL system.
- ix. POA documents/details, if any, recorded with the signature of the deceased guardian shall be deleted.

After the minor has attained majority, DP must collect new KYC application form after the minor has attained majority. The following procedure is to be adopted: • The account holder shall submit KYC application form or details of KRA registered with. • The account holder shall submit a new account opening form duly complete in all respects. The DP shall provide a copy of the Rights and Obligations document to the account holder and shall keep an acknowledgement of the same on record. • The guardian's details shall be deleted and guardian's signature shall be replaced by account holder's signature.

The above procedure can be followed only if the word 'minor' is not present in the "Account Holder's name" when the account was opened. If "minor" word is present, then the existing account has to be closed and a new account shall be opened.

(C) HUF

The documents to be obtained are:

- a) The PAN details of the HUF entity would have to be entered in the CDSL system.
- b) Declaration by Karta giving details of the family members of the HUF with their names, sex (male/ female), date of birth and relationship with the Karta.
- c) DPs shall note the following while opening a HUF account:
 - HUF accounts cannot be opened with joint holder(s).
 - HUF accounts cannot appoint a nominee.
 - In the account opening form, the Karta shall sign under the HUF stamp.
 - Account can be opened in the name of - Existing Karta / HUF entity
 - The name shall be as it appears in the PAN card, e.g. A H Doshi & Sons, Bal Govind Zangle (HUF).
 - In case POA is to be given by the karta to some other entity to operate the HUF Account, the POA shall be signed by all the members of the HUF account in addition to the karta.

Procedure to be adopted in the event of death of Karta is as follows:

- HUF, being a Hindu Undivided Family, the property of the family is managed by the Karta, • HUF does not come to an end in the event of death of the Karta. In such a case, the members of the HUF will appoint the new Karta. • The new karta shall submit the new list of members and a no objection from the surviving members of the HUF for him to act as Karta of the HUF. • The new Karta will submit to the DP the account modification form and record change in signature of the new Karta to operate the account. • The previous account need not be closed and the same account can continue.

Procedure to be followed in case of partition of HUF:

In case of partial partition of the HUF, if one or two members of the HUF have left, the others can still continue the HUF in the existing name. In case of full partition, the entire HUF is dissolved. In both the above cases, the Karta can transfer shares to the members who seek partition. If the issue of transfer cannot be amicably settled, the family members can go to court and transfer of shares can then be based on the Court directions.

Procedure to be followed in case of POA being given for the HUF

The Power of Attorney (POA) document shall be signed by the Karta of the HUF and all the co-parceners.

(D) NRI

- a) In case of foreign address, if address with P.O. Box No. has been submitted as Permanent and/or Correspondence address. Additionally the DPs shall obtain the complete residential address of the NRI BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.
- b) A declaration duly signed by the NRI that he/she has complied with and will continue to comply with, FEMA regulations and other applicable laws. Change of status from NRI to Resident and vice versa: It is the responsibility of the individual to inform the change of status to the DP with whom he/she has opened the demat account. Subsequently, a new demat account in the new status will have to be opened, securities shall be transferred from the old demat account to the new demat account and then the old demat account shall be closed.

(E) Foreign Nationals

- a) Documents – same as NRI. • b) If the foreign address with P.O. Box No. is given as Permanent and/or Correspondence address, additionally, the DPs should obtain the complete residential address of the Foreign National BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.

(F) **Association of Persons (AOP)**

- a) Object of the association. b) Powers of the Managing Committee. c) Copy of the Bye Laws.

(G) **Proprietary / Partnership Firms**

BO accounts in the name of the Proprietorship Concern or Partnership Firm cannot be opened in CDSL system. KYC application form / KRA details are to be obtained for proprietor / partners and partnership firm. For Partnership firm, Partnership deed is also to be obtained. The pan card details of the partnership firm / proprietor is to be updated in the CDSL system.

BO's Account can have a maximum of three names associated with it: the Sole/ First Account holder, the First Joint holder and the Second Joint holder. One passport-size photograph of each applicant shall be pasted on the form along with their signatures across the photograph and Account Opening Form.

(H) **Foreign Corporate**

A duly signed declaration that the corporate has complied with, and will continue to comply with, FEMA Regulations and other applicable laws.

(I) **Clearing Member (CM)**

- a) If CM is a corporate body: True copy of certificate of registration with SEBI, certified by Managing Director/Company Secretary / notarized.
b) If CM is a not a corporate body: • The CM account (CM Pool / CM Principal / 1 / Early Pay-in) may be opened in the CDSL system:
i)- either in the name of the partnership firm/entity as mentioned on the Certificate of Registration with SEBI, or ii)- in the name of the proprietor or partners (up to three partners). • Photocopy of Certificate of Registration with SEBI, duly notarized.
c) Asset Management Company (AMC) Pool Account: • This account is linked with a stock exchange.
Following document is to be submitted by the AMC for opening the pool account with any DP of CDSL for the purpose of settlement of mutual fund units:
• Letter / circular / instructions issued by the concerned Stock Exchange indicating the CM ID.

(J) **OCBs**

- a) Certified true copy of Board Resolution, certified by Managing Director/Company Secretary for persons authorized by the Board to act as authorized signatory (ies).
b) Names of the authorized signatory (ies), designation, photographs and their specimen signatures, certified by Managing Director/Company Secretary.
c) Memorandum and Articles of Association of the Company.
d) RBI Registration Certificate.
e) Declaration from the OCB that it meets with the guidelines issued by RBI / Ministry of Finance.
f) Certificate from overseas auditors in Form OAC or OAC – 1, as may be applicable.
g) Statement of account from the Bank.

(K) **Society**

Registered Society: The account shall be opened in the name of the society.

Unregistered Society: a) The account shall be opened in the names of the members under "Individual" category (maximum three accountholders).

b) All the documents, as applicable for account opening under individual category, shall be obtained.

(L) **Trust**

Public Trust/ Charitable Trust and Trust capable of holding property in its name (Registered Trust /Public Trust):

- a) Account shall be opened in the name of the Trust.
b) Certificate of Registration of Trust under the Societies Registration Act/Public Trust Act,1860 / Bombay Public Trust Act,1950 / Public Trust Act, of relevant State.
c) Certified true copy of Board Resolution to open the demat account and specifying the persons authorized by the Board to act as Authorized signatory(ies) to operate the demat account.
d) Names of the authorized signatories, designation, and their specimen signatures duly verified by the Managing Trustee.
Private Trust:

a) The Board of Trustees shall specify the names of the trustee/s who shall hold/ operate the demat account.

b) The account shall be opened in the names of the trustees under "Individual" category of the first named trustee (maximum three account holders).

Recognized Funds / Trusts/ Other similar entities.

The Funds/ Trusts/ Entities presently included under this category are as follows:

- a) Employees Provident Fund, which have been recognized by the Provident Fund Commissioner under Employee's Provident Funds & Miscellaneous Provisions Act, 1952.
b) Employees Gratuity Fund, which are formed under Payment of Gratuity Act, 1972.
c) Superannuation Fund which are formed under the guidelines issued by Income Tax Department.
d) Venture Capital Funds which are registered by SEBI.
(e) ESOP Trust formed pursuant to the guidelines issued by SEBI).

Accounts of the above Funds/ Trusts/ Entities shall be opened in the name of above Funds/ Trusts/ Entities as they are recognized either under the Income Tax Act or Securities & Exchange Board of India Act, etc.

Documents to be furnished by the above Funds/ Trusts/ Entities and other Funds/ Trusts/ Entities, which are similarly placed, are:

• Certificate of Registration, if any, issued by the authority recognizing the Fund / Trust / Entity as such; • Trust Deed and Rules and/or any document or charter defining their constitution and providing for management thereof; • List of Members on the Board of Trustees/Governing Body; • Certified true copy of the Resolution passed by the Board of Trustees/Governing Body to open the demat account and specifying the persons authorized by the Board to act as Authorized signatory(ies) to operate the demat account; • Names of the authorized signatories, designation, and their specimen signatures duly verified by the Managing Trustee;

(M) **Banks**

- a) Certified true copy of Board Resolution, or b) Letter on the letterhead of the bank, signed by the Chairman/MD authorizing opening of account and authority given to authorized signatories to open and operate the demat account.

(N) **Mutual Funds**

SEBI Registration Certificate clearly indicating the name of the Mutual Fund.

(O) **Escrow Account**

• KYC form / KRA details of entity that is opening the account (RTA / Clearing Member / Manager to the Issue). • The photographs of the authorized signatory (ies) who would be operating the account. • PAN card of both parties i.e. Corporate entity & Escrow Agent. The PAN details of the Corporate entity would have to be captured in the CDSL system.

Procedure for opening Escrow account.

• The escrow account shall be opened in the name and form of < Issuer name> - <Reason for opening the escrow account>-operated by-<Operator Name> for e.g. Infosys Technologies Ltd. – Buyback Account - Operated by – Karvy Consultants Ltd. • The photographs of authorized signatories who will be opening the account as well as who will be operating the account along with name, designation shall also be obtained. • The escrow account shall be active for the limited period of the activity for which it has been opened. Such period shall be as specified by SEBI / CDSL or any such regulating authority from time to time. After the specified period is over the account shall be closed by the DP irrespective of whether the closure instruction is received from the account holder or not.

(P) **Limited Liability Partnership Firm**

Demat Account for Limited Liability Partnership Firm [which is registered under the Limited Liability Partnership Act (2008)]

Such an account shall be opened as: <"Company Name" Limited Liability Partnership> or <"Company Name" LLP>. For example, if the company name is "ABC" then the demat account shall be opened in the name of <ABC Limited Liability Partnership> or <ABC LLP>.

The following documents shall be obtained :

(i) Registration Certificate granted by the Registrar to the LLP under the LLP Act 2008. (ii) Declaration, on the letterhead of the LLP signed by all the designated partner/s clearly stating that the within named persons, who are designated partners of the LLP, have been nominated as authorized signatories to open and operate the said demat account on behalf of the LLP. (iii) The declaration shall specify the manner in which the account will be operated, that is: jointly or severally and shall give details of the names, addresses and DPIN [Designated Partner Identification Number allotted by the Registrar for each designated partner]/DIN [Directors Identification Number] along with their signatures and photographs. (iv) PAN Card details of the LLP are to be entered in the CDSL system. (v) The bank details in the name of the LLP, as sole / first holder in the bank account. (vi) PAN card of the authorized signatories to be kept on record. (vii) In case of change in registered office address of the LLP, the DP should take on record the notice of change of address filed by the LLP with the Registrar

• Joint holders in the demat account may be allowed. • Nomination in such demat accounts shall not be allowed. • Such demat accounts shall be opened under "Corporate" status in the CDSL system with the sub-status "Limited Liability Partnership".

ANNEXURE - 2.1

PRARAMBH SECURITIES PVT. LTD.

1401, Excel Plaza, 14th Floor, 90 Feet Road,
Pant Nagar, Ghatkopar East, Mumbai - 400075.

(To be filled by the Depository Participant)

Application No.											Date									
DP Internal Reference No.																				
DP ID	1	2	0	8	3	9	0	0	Client ID	0	0									

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

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

Type of Account		(Please tick whichever is applicable)																	
Status		Sub - Status																	
<input type="checkbox"/> Individual		<input type="checkbox"/> Individual Resident						<input type="checkbox"/> Individual-Director						<input type="checkbox"/> Individual Director's Relative					
		<input type="checkbox"/> Individual HUF / AOP						<input type="checkbox"/> Individual Promoter						<input type="checkbox"/> Individual Margin Trading A/C (MANTRA)					
		<input type="checkbox"/> Minor						<input type="checkbox"/> Others (specify)											
<input type="checkbox"/> NRI		<input type="checkbox"/> NRI Repatriable						<input type="checkbox"/> NRI Non-Repatriable						<input type="checkbox"/> NRI-Repatriable Promoter					
		<input type="checkbox"/> NRI Non-Repatriable Promoter						<input type="checkbox"/> NRI - Depository Receipts						<input type="checkbox"/> Others (specify)					
<input type="checkbox"/> Foreign National		<input type="checkbox"/> Foreign - National						<input type="checkbox"/> Foreign National - Depository Receipts						<input type="checkbox"/> Others (specify)					

Type of Account		(Please tick whichever is applicable)																					
		Status																Sub - Status					
<input type="checkbox"/> Body Corporate		<input type="checkbox"/> Banks				<input type="checkbox"/> Trust				<input type="checkbox"/> Mutual Fund				<input type="checkbox"/> OCB				<input type="checkbox"/> FI				To be filled by the DP	
<input type="checkbox"/> CM		<input type="checkbox"/> FI				<input type="checkbox"/> Clearing House				<input type="checkbox"/> Other (Specify)													
Date of Birth/Incorporation																							
SEBI Registration No. (If Applicable)								SEBI Registration Date															
RBI Registration No. (If Applicable)								RBI Approval Date															
Nationality		<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____																					

Holders Details

Sole / First Holder's Name																					
PAN																					
Exchange Name & ID								UID						X	X	X	X	X	X	X	X
Second Holder's Name																					
PAN																					
Third Holder's Name																					
PAN																					
								UID						X	X	X	X	X	X	X	X

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.																			

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

Clearing Member Details (To be filled by CMs only)

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

Do you wish to receive dividend / interest directly in to your bank account 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 No

Bank Details (Dividend Bank Details) MICR code starting with 000 will not be eligible for ECS.

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"/> Cash Credit		<input type="checkbox"/> Others (specify)		
Bank Name									
Branch Name									
Bank Branch Address									
City	State	Country	PIN						

- (i) Photocopy of the cheque/cancelled cheque having the name of the account holder where the cheque book is issued, (or)
 - (ii) Photocopy of the Bank Statement having name and address of the BO
 - (iii) Photocopy of the Passbook having name and address of the BO, (or)
 - (iv) Letter from the Bank.
- In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

OTHER DETAILS

- Gross Annual Income Details (please specify):** Income Range per annum:
 Below Rs 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac 25 Lacs -1 Crore > 1 Crore
- Net-worth as on (date)** _____ (Net worth should not be older than 1 year)
- Occupation (For Individuals only)** Private / Public Sector Govt. Service Business Professional Agriculture Retired
 Housewife Student Others (Specify) _____
- Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) . Please provide details as per Annexure 2.2 A.
- Any other information:** _____

SMS Alert Facility Refer to Terms & Conditions given as Annexure-2.4	<input type="checkbox"/> Yes 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"/> No
--	---	-----------------------------

<i>easi</i>	<input type="checkbox"/> Yes. To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	<input type="checkbox"/> No
-------------	---	-----------------------------




MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

Jointly Anyone of the Holder or Survivor

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be first holder.

<input type="checkbox"/> First Holder	<input type="checkbox"/> All Holder	Email id
	<input type="checkbox"/> Second Holder	
	<input type="checkbox"/> Third Holder	

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

	First/Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature	 (12)		

(Signatures should be preferably in black ink).

Nomination Form for Demat Accounts

I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) *								
Nomination Details								
	Mandatory Details						Additional Details ****	
	Name of nominee	Share of nominee (%)**	Relation ship	Postal Address	Mobile number & E-mail	Identity Number ***	D.o.B. of nominee	Guardian
Nominee 1								
Nominee 2								
Nominee 3								
Nominee 4								
Nominee 5								
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

*Joint Accounts:

Event	Transmission of Account
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously – having nominee	Nominee
Demise of all joint holders simultaneously – not having nominee	Legal heir(s) of the youngest holder

** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving License or Aadhaar (last 4 digits). Copy of the document is not required. However, in case of NRI / OCI / PIO, Passport number is acceptable.

**** to be furnished only in following conditions / circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the DP as follows; (please tick, as appropriate)

- Name of nominee(s)
- Nomination: Yes / No

2) I hereby authorize _____ (nominee number ____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ____% of assets in the account or Rs. _____. **(Optional)** (strike off portions that are not relevant) This nomination shall supersede any prior nomination made by me / us, if any.

3) Signature(s) – As per the mode of holding in demat account(s)

Name(s) of holder(s)		Signature(s) of holder / thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable) *
Sole / First Holder (Mr./Ms.)		✓		
Second Holder (Mr./Ms.)				
Third Holder (Mr./Ms.)				

* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Rights, Entitlement and Obligation of the investor and nominee:

- If you are opening a new demat account, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account.
- In case all your nominees do not claim the assets from the DP, then the residual unclaimed asset shall continue to be with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account, in case of your physical incapacitation, at any point of time and not just during opening of account. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the demat account(s) i.e.
 - 'Either or Survivor' Accounts - any one of the holder can sign
 - 'First holder' Accounts - only First holder can sign
 - 'Jointly' Accounts - all holders have to sign

Transmission aspects

- DPs shall transmit the account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the DP.

In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% Share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

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

Name of holder _____ PAN of the holder _____

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

Name & Signature of the Authorised Signatories Date ____/____/____

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

Terms And 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:

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

Availability:

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

Receiving Alerts:

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

Fees:

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

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

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

BOID	1	2	0	8	3	9	0	0		0	0						
	(Please write your 8 digit DPID)								(Please write your 8 digit Client ID)								

Sole / First Holder's Name : _____

Second Holder's Name : _____


Third Holder's Name : _____


Mobile Number on which messages are to be sent	+91																
--	-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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

The mobile number is registered in the name of: _____

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

 (14) _____
Signatures Sole / First Holder

 _____
Second holder

 _____
Third Holder

Place: _____

Date: _____

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories**General Clause**

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 2018, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars / Notifications / Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.

10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 2018 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. ***The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.**

Statement of account

14. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
15. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
16. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
17. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

20. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

22. As per Section 16 of Depositories Act, 1996,
1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.
- 25. The Joint holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority.**

Redressal of Investor grievance

26. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

27. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and

interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

28. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
29. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
30. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
31. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
32. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
33. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

To,
PRARAMBH SECURITIES PVT. LTD.
1401, Excel Plaza, 14th Floor,
90 Feet Road, Pant Nagar,
Ghatkopar East, Mumbai - 400075.

Sub: Common Mobile number / Email ID for Demat accounts. (Applicable for family members)

Dear Sir,

I, Mr/Mrs _____ would like to confirm that the Mobile number/E-mail ID _____ is registered in my name. I am enclosing self attested copy of latest ID Proof for your information and record. I am your registered client having trading code as _____ and demat account number _____.

Upon understanding from you that my mobile number/email id is registered with some of the clients who have demat accounts with you, I have to state that this is in my full knowledge and I have consented to the below clients who is / are my relative/s to state my mobile number/email id in their KYCs to which I have no objection. All the transactions in their accounts are not only done as per their respective instructions but they are well conveyed by me of all the SMS/Email belonging to them which are sent by you to me on my above mobile number/email id.

All these below clients also do not have any objection to the same, in consent they have also signed:

Sr. No.	Client Name	Demat A/c	Relation	Signature
1				
2				
3				
4				
5				
6				
7				

However, in case of any further regulatory requirements, I undertake to abide upon hearing from you.

Thanking You,

Yours Faithfully,



(16)

Signature of the Applicant

PRARAMBH SECURITIES PVT. LTD.

1401, Excel Plaza, 14th Floor, 90 Feet Road,
Pant Nagar, Ghatkopar East, Mumbai - 400075.

TARIFF FOR THE DEPOSITORY SERVICES

(17)

First/Sole Holder

SR. NO.	ITEM	DESCRIPTION
---------	------	-------------

1. Account Opening Charges Nil
2. Account Maintenance Charges

Charges Head	☐ Scheme A		☐ Scheme B	
	Individuals	Non-Individuals	Individuals	Non-Individuals
Account Maintenance Charges	Rs. 300/- Yearly	Rs. 500/- Yearly + CDSL Yearly charges on actual	Rs. 999/- (One Time)	Rs. 2500/- (One Time) + CDSL Yearly charges on actual

Second Joint Holder

3. Purchase (Market) Nil
4. Custody Charges Nil
5. Transaction Charges Rs. 25/- per demat request per every 500 ms
6. Dematerialization Rs.3/- per certificate plus courier charges of Rs.25/- per demat request per every 500 ms.
7. Rematerialization Rs.25/- per certificate plus courier charges of Rs.25/- per Demat.
8. Creation / confirmation / closure 0.02% minimum Rs.25/- of creation of pledge
9. Invocation of pledge 0.03% minimum Rs.50/-
10. Transaction Charges fail Rs.20/- per Transaction
11. Demat Rejection Charges Rs.35/- per Rejection

Third Joint Holder

CHEQUE BOUNCE CHARGES	CHARGES WILL BE APPLIED BASED ON CHARGES AS DETERMINED BY BANKERS
PAYMENT OF BILLS AFTER 15 DAYS FORM DUE DATE OF THE PAYMENT	PENALTY @ 2% PER MONTH WILL BE LEVIED FROM THE DUE DATE ON THE VALUE OF OUT STANDING BILLS

BSDA Tariff Sheet			
SERVICE	CHARGES		REMARKS
	BSDA - I (VALUE OF HOLDING UP TO ₹ 50000/-)	BSDA - I (VALUE OF HOLDING FROM ₹ 50000/- TO ₹ 200000/-)	
Annual Maintenance Charges	NIL	₹ 100/-	Per Annum
Sale Transaction	₹ 50/-		Per Transaction
Purchase	NIL		Per Transaction

OTHER POINT

- In Case of Power of Attorney Rs.500/- every account will be debited from BO account and additional stamp duty payable as per local state charges and Rs.100/- notary charges for Power of Attorney.
- In case of corporate account opened on CDSL, an additional A.M.C. of Rs.500/- Payable to CDSL would be collected.
- All the percentage in the above tariff would be applied on the value of the transaction as computed by CDSL.
- All the payment have to be made in the name of Prarambh Securities Pvt. Ltd.
- Out or Pocket expenses incurred on the dispatch of securities for Dematerialization and communication charges incurred on out station calls/faxes made specifically on request of the client will be charges on actual.
- Non periodic statement will be charges at Rs.10/- per statement any extra statement would be charged @ 15/- per statement for first 10 pages, there after it would be charged Rs.2/- per page.
- Any Penalty charged by CDSL for late instruction will be charged to the account at 0.05% plus CDSL charges.
- Late Charges would be collected for all instructions received after 4 pm for same day execution or execution date as pay in date.
- Account cum billing statements will send quarterly.
- The above Rates depend on existing CDSL charges & will be revised on revision by CDSL. The above charges are subject in revision by Prarambh Securities Pvt. Ltd.
- Kindly Debit the Bill to my regular account with you. My account code is _____

Name of First Holder

Name of Second Holder

Name of Third Holder


(18)





Signature of First Holder

Signature of Second Holder




Signature of Third Holder

2. List of Beneficial Owner Accounts that the Member is entitled to operate with DDPI are as follows*:

Sr. No.	Exchange/ Segment	Account Type	DP Name - Prarambh Securities Pvt. Ltd. Demat Account Number															
			1	2	0	8	3	9	0	0	0	0	0	0	4	0	1	8
1	All	CUSPA Account	1	2	0	8	3	9	0	0	0	0	0	0	4	0	1	8
2	NSE	CDSL Pool & Principal A/c.	1	2	0	8	3	9	0	0	0	0	0	0	0	0	6	6
3	BSE	CDSL Pool Account	1	2	0	8	3	9	0	0	0	0	0	0	0	8	5	
4	NSE	CDSL Pool & Pricipal A/c.	1	2	0	8	3	9	0	0	0	0	0	4	0	0	3	
5	All	CDSL Margin Pledge A/c.	1	2	0	8	3	9	0	0	0	0	0	2	8	3	8	
6	All	NSDL Margin Pledge A/c.	I	N	3	0	0	9	6	6	1	0	9	6	9	1	8	9
7	NSE	NSDL Pool A/c.	I	N	5	1	9	6	7	7								
8	BSE	NSDL Pool A/c.	I	N	6	6	6	3	9	6								

*Any modification, deletion or addition in the above account shall be intimated to me/ us separately.

3. The authorization provided by DDPI shall be applicable for all transactions specified herein from the date of applicability as specified by SEBI/ Exchange.

	First/Sole Holder	Second Holder	Third Holder
Signature	 (23)		

If HUF, Co-parceners Signature:

- 1) _____
- 2) _____
- 3) _____
- 4) _____

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date: _____

DP ID	1	2	0	8	3	9	0	0	Client ID	0	0						
Sole/First Holder																	
Second Holder																	
Third Holder																	




To,
PRARAMBH SECURITIES PVT. LTD.
 1401, Excel Plaza, 14th Floor, 90 Feet Road,
 Pant Nagar, Ghatkopar East, Mumbai - 400075.

Dear Sir/Madam,
 I/We hereby state that: [Select one of the options given below]

OPTION 1:

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




Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	 (24)		

OPTION 2: **OR**

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

Yours faithfully,

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	 (25)		

===== (Please Tear here) =====

ACKNOWLEDGEMENT RECEIPT

Received OPTION FORM FOR ISSUE/NON ISSUE OF DIS BOOKLET from:

DP ID	1	2	0	8	3	9	0	0	Client ID	0	0						
Name of the Sole / First Holder																	
Name of Second joint Holder																	
Name of Third joint Holder																	

For PRARAMBH SECURITIES PVT. LTD.

To,
PRARAMBH SECURITIES PVT. LTD.
 1401, Excel Plaza, 14th Floor, 90 Feet Road,
 Pant Nagar, Ghatkopar East, Mumbai - 400075.

Date: _____

Dear Sir/Madam,




- I/We do not want to avail the BSDA (Basic Services Demat Account) facility in respect of my/our below mentioned demat account with you.
- I/We wish to avail the BSDA facility for the new account for which we have submitted my/our account opening form
- I/We wish to avail the BSDA facility for my/our below mentioned demat account number

DP ID	1	2	0	8	3	9	0	0	Client ID	0	0	0					
-------	---	---	---	---	---	---	---	---	-----------	---	---	---	--	--	--	--	--

	Name	PAN							
Sole/First Holder									
Second Holder									
Third Holder									

I/We have read and understood the regulatory (SEBI) guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines from time to time. I/We also undertake to comply with the guidelines issued by any such authority for BSDA facility from time to time. I/We also agree that in case our demat account opened under BSDA facility does not meet the eligibility for BSDA facility as per guideline issued by SEBI or any such authority at any point of time, my/our BSDA account will be converted to regular demat account without further reference to me/us and will be levied charges as applicable to regular accounts as informed by the DP.

I, the first/Sole holder also hereby declare that I do not have/propose to have any other demat account across depositories as a first/sole holder.

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	 (26)		

===== (Please Tear here) =====

ACKNOWLEDGEMENT RECEIPT

Received BSDA declaration form from:

DP ID	1	2	0	8	3	9	0	0	Client ID	0	0	0					
Name																	
Address																	

For Prarambh Securities Pvt. Ltd.

Date:

(Authorised Signatory)

RUNNING ACCOUNT AUTHORISATION**VOLUNTARY**

To,
PRARAMBH SECURITIES PVT. LTD.


1401, Excel Plaza, 14th Floor, 90 Feet Road, Pant Nagar, Ghatkopar East, Mumbai - 400075.

Dear Sir,

Re: Running Account Authorisation

In order to facilitate operations of my/our trading account opened, I/We would like to authorise Prarambh Securities Pvt. Ltd. (hereinafter referred as "PSPL") to maintain running account, instead of settlement to settlement clearance of funds due to me/us.

1. I/We hereby give my/our consent to maintain a running balance in my account and retain credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct /revoke you otherwise.
2. I/We request you to settle my fund account as below: (Tick on appropriate option)
 Monthly **Quarterly**
3. As per the SEBI and Exchanges circulars, the settlement of running account of funds of the client shall be done by the trading member after considering the End of the day (EOD) obligation of funds as on the date of settlement across all the Exchange on first Friday of the Quarter/Month. If first Friday is a trading holiday, then such settlement shall be done on the previous trading day. For clients, who have opted for Monthly settlement, running account shall be settled on first Friday of each month. If first Friday is a trading holiday, then such settlement shall happen on the previous trading day.
4. I/We having credit balance and have not done any transaction within the 30-calendar day since the last transaction, the credit balance shall be returned to me/us, within next three working days or prescribed time limits irrespective of the date when running account was previously settled.
5. In case where I/ we and I have traded within 30 calendar days and there is outstanding trade position at the end of First Friday (or previous day in case of a holiday) of the Month/Quarter on which settlement of running account of funds is scheduled, a PSPL may retain funds in the manner specified below:
 - i. Entire pay-in obligation of funds outstanding at the end of day (EOD) on date of settlement, across all segment. 50% of end of the day (EOD) margin requirement as cash margin, excluding the margin on consolidated crystallized obligation/MTM.
 - ii. Apart from above, 225% of EOD margin (which include additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the client by way of 'margin pledge' created in the Depository system for the purpose of margin (after applying appropriate haircut). The margin on consolidated crystallized obligation/MTM. The margin liability may also include the margin collected as per the risk management policy.
 - iii. Apart from 50% cash margin mentioned in point ii above, member may also retain 225% of EOD margin (which includes additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the clients by way of 'margin pledge' created in the Depository system for the purpose of margin and value of commodities (after applying appropriate haircut). The margin liability shall include the end of the day margin requirement in all the segments across exchanges excluding the margin on consolidated crystallized obligation/MTM. The margin liability may also include the margin collected by the Member from their clients as per the risk management policy and informed to the clients.
6. Client accounts which are due for settlement in the last month or quarter shall be settled on the date of settlement.
7. I/We confirm you that I/We shall to your notice, any dispute arising from the statement of account or settlement so made, in writing preferably within 7 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 registered office.
8. I/We confirm that the above-mentioned authorization shall continue until it is revoked by me/us. I/We confirm having read the above circular and this running account authorization.

Name:	
Signature	 (27)
Date:	

ECN AUTHORISATION

VOLUNTARY

From: _____

Date: _____

To,
PRARAMBH SECURITIES PVT. LTD.
1401, Excel Plaza, 14th Floor,
90 Feet Road, Pant Nagar,
Ghatkopar East, Mumbai - 400075.

Dear Sirs,

Sub: Mandate to issue contract notes in digital format & other communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.) through an E-Mail

I / We hereby agree and consent to accept the contract notes for transactions carried on by us/me on BSE/NSE with you, in terms of the mandatory & voluntary client registration document entered into between us/me, in digital form. Digital contracts issued by you as per the terms and conditions specified herein shall be binding on me/us. The mandate is subject to terms and conditions mentioned herein below.

Terms and conditions for issuance of contract notes in digital form between us :-

1. Digital Contract Notes in the format as may be prescribed by the Exchange from time to time will be mailed to me/us on the E-mail address provided to you.
You can also send me/us my/our margin statement in digital form with contract notes.
2. I / we undertake to check the contract notes and bring the discrepancies to your notice.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any, should be sent on E-mail: ig@prarambhsec.com
5. Clients can view the digital contract notes using the username & password through the web-site apart from the contract notes sent to the client through mail.
6. The Digital contract notes will be archived at an interval preferably in 3 months. If the client intends to view the digital contract notes for a period prior to 3 months client may request for the same in writing.
7. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
8. It will be client's responsibility to regularly check the mailbox and keeping the storage space for new email messages.
9. Any changes in the terms and conditions shall be intimated from time to time.
10. Digital Contract Notes will also be available at our Web-site: www.prarambhsec.com
11. Any change in the E-mail ID shall be communicated by us / me through a physical letter.

Other Communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.)

You can send me various documents like Daily margin statement, Statement of funds & securities, Account confirmations, bills, notices etc. through an E-mail ID mentioned in this letter.

This instruction to issue digital contract notes & other communications are applicable with immediate effect. This instruction is several to all parties mentioned above.

My/Our E-mail ID _____

My/Our Alternative E-mail ID _____

Yours faithfully,


(28)

(Client Signature)

Client Code : (customer ID)

Aadhaar Consent Letter

VOLUNTARY

Date: _____

Client Code: _____

To,
PRARAMBH SECURITIES PVT. LTD.

1401, Excel Plaza, 14th Floor, 90 Feet Road, Pant Nagar,
Ghatkopar East, Mumbai - 400075.

Sub: Consent to use Aadhaar card copy

Ref.: Application for New Membership/KYC/AP Registration

Dear Sir,

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


- a. Voter ID Card
- b. Driving License
- c. Passport
- d. Ration Card
- e. Aadhaar Card
- f. Utility Bills

I willingly give my consent to **Prarambh Securities Pvt Ltd** to accept copy of my Aadhaar card and proceed with the referred application, further I/we authorise **Prarambh Securities Pvt Ltd** to share the same with exchanges /depositories/ regulators if required.

Thanking you,

Yours Sincerely,

Client Name: _____

Client Signature:  _____
(29)

Authorization Letter

VOLUNTARY

Date: _____

Client Code: _____

To,
PRARAMBH SECURITIES PVT. LTD.

1401, Excel Plaza, 14th Floor, 90 Feet Road, Pant Nagar,
Ghatkopar East, Mumbai - 400075.

Sub: Authorization Letter

Dear Sir,

I/We, _____

having trading account with Prarambh Securities with client code _____ do hereby authorize
Mr./Ms. _____

having contact No. _____ (whose specimen signature is as a..ested below) to act as my/
our Authorized Representa..ve to do following acts, deeds and things for and on my behalf:

1. To sell, purchase, endorse, negotiate and for otherwise deal in securities and/or sign and to execute all transfer deeds whether as transferor or transferee and such other instruments, application and documents as may be necessary for the purpose of acquiring or transferring the same, marking pledge/lien on such securities or otherwise deal, negotiate or trade in securities on my behalf including in the Futures & Options segment.
2. For the aforesaid purpose to sign contracts, agreements, transfers, acceptances, receipts, acquaintances or other instruments, documents and forms, to accept and carry out correspondence with such person(s) or authority/ authorities or department(s) and to do all lawful acts required for effecting the same.
3. To accept and give valid discharges for acceptances and submission of contract notes, bills, ledger statements, transaction statements and all correspondence and communications including all trade related communications on my behalf.
4. I/We am/are aware that the Authority Letter cannot be executed in favour of a) Authorize Person/Franchisee and its employees and b) referrers, except for accounts belonging to the relatives of such persons.

In case Referrer of the account is the same as Authorized Representative, the following clause is applicable and I/We agree and accept the following: I/We am/ are aware and informed that Exchanges have issued circulars on incentives/ referral schemes which inter alia restricts the Referrer from undertaking certain activities. I/We have read and understood all the circulars, guidelines, clarifications etc., issued by Regulators from time to time and am aware of the risks and implications in authorizing the referrer to act as my Authorized Representative. However, I/We still wish to authorize as submitted vide my/our above request and I/We therefore request you to register the same in your records.

I/We hereby confirm and declared that my/our relation with the Authorized Representative as mentioned above is true and correct.

I/We hereby agree, ratify and confirm all acts, deeds and things of whatsoever nature done by my/our Authorized Representative by virtue of this authority.

Accepted by the Authorized Representative: -

I hereby confirm the authority vested upon me by _____

and agree to take all action in good faith of the client.

Thanking you,
Yours Sincerely,

Client Name: _____

Client Signature:  (30) _____

Specimen Signature of Authorized representative

Encl.: Proof of identification

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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



(31)

Client Signature

HUF DECLARATION

FORMAT

Date:

To,

PRARAMBH SECURITIES PVT. LTD.

1401, Excel Plaza, 14th Floor,

90 Feet Road, Pant Nagar,

Ghatkopar East, Mumbai - 400075.

Dear Sir,

I hereby request you to open our trading account with you, for our HUF.

Being Karta of my family, I, _____ hereby declare that following is the list of family members in our HUF, as on date of Application, i.e. _____.

Name & signature of Adult co-parceners

SR. NO.	NAME OF FAMILY MEMBERS	SEX	RELATIONS	DATE OF BIRTH	SIGNATURE

Name & dates of birth of minor co-parceners

SR. NO.	NAME OF FAMILY MEMBERS	SEX	RELATIONS	DATE OF BIRTH

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for making this Application to open new Demat Account.

I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further, I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking you,

Yours truly,



(32)

Karta

(Affix stamp of HUF)

FATCA/CRS DETAILS

Client Code		Date: _____
-------------	--	-------------

The below information is required for all applicant(s) / guardian / PoA holder.

Sr. No.	Details	1st Holder	2nd Holder	3rd Holder
1	Are You a Tax Resident of Country other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2	Is your Country of Birth/Citizenship other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
3	If your Residence address/Mailing address/Telephone No. other than in India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
4	Is the POA holder/person to whom signatory authority is given, covered under any of the categories 1, 2 or 3 above?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

If you have answered YES to any of above, please provide the below details

Sr. No.	Details	1st Holder	2nd Holder	3rd Holder
1	Country of Residence			
2	Nationality			
3	Tax Identification No. or Reason for not providing TIN			
4	Identification Type (TIN or Other, please specify)			
5	Residence address for tax purposes (include City, State, Country & Pin code)			
6	Address Type	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Regd. Office	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Regd. Office	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Regd. Office
7	City of birth			
8	Country of birth			

Certification: I/We have understood the information requirements of this Form (read along with the FATCA/CRS Instructions), and hereby certify 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 and hereby accept the same.

I/We agree to indemnify Prarambh Securities Pvt. Ltd. in respect of any false, misleading, inaccurate and incomplete information regarding my/our "U.S. person" status for U.S. federal income tax purposes. or in respect of any other information as may be required under applicable tax laws.

	First / Guardian Applicant	Second Holder	Third Holder
Name			
Signature	(33)		
PAN			

FATCA-CRS Instruction

Details under FATCA/CRS/Foreign Tax Laws: 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 to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In certain circumstances (including if we do not receive a valid self -certification from you) we may be obliged to share information on your account with relevant tax authorities/appointed agencies. If you have any questions about your tax residency, please contact your tax advisor. Should there be any **change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.** 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 or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

Supplementary KYC Information & FATCA-CRS Declaration - Entities & HUF

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA / CRS Guidance)

***Name of the entity**

Type of address given at KYC KRA Residential & Business Residential Business Regd. Off.

PAN **Date of Incorporation** DD / MM / YYYY

City of incorporation

Country of incorporation

Net Worth in INR in ₹ Lakhs **Net Worth as on** DD/MM/YYYY

Is the entity involved in / providing any of these services:	Foreign Exchange / Money Changer Services	YES	Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)	YES	Money Laundering / Pawning	YES	Any other information
		NO		NO		NO	

Entity Constitution Type Partnership Firm HUF Private Limited Company Public Limited Company Society Aop/BoiSociety Trust Liquidator Limited Liability Partnership Artificial Judicial Person Others specify _____

Please tick as appropriate

Please tick the applicable tax resident declaration

1. Is Entity* a tax resident of any country other India. Yes No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Country	Tax identification Number#	Identification Type (TIN or Other, please specify)

In case Tax identification Number is not available, kindly provide its functional equivalent or Company Identification number or Global Entity Identification Number.

In case the Entity's Country of Incorporation/Tax residence is U.S. but entity is not a Specified U.S. Person, mention Entity's exemption code here

FATCA Declaration

(Please consult your professional tax advisor for further guidance on FATCA classification)

PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

1. We are a, Financial institution or Direct reporting NFE (please tick as appropriate)

GIIN

Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

Name of sponsoring entity

GIIN not available (Please tick as applicabe)

- Not required to apply for-please specify 2 digits sub-category
- Not obtained-Non participating FI

PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1.	Is the Entity a publicly traded company' (that is, a company whose shares are regularly traded on a established securities market)	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded)
		Name of stock exchange _____
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please specify name of the listed company any one stock exchange on which the stock is regularly
		Name of listed company _____
		Name of relation: <input type="checkbox"/> Subsidiary of the listed Company or <input type="checkbox"/> Controlled by a listed Company
		Name of stock exchange _____
3.	Is the Entity an active NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please fill UBO declaration in the next section)
		Nature of Business _____
		Please specify the sub-category of Active NFE <input type="checkbox"/> <input type="checkbox"/>
4.	Is the Entity an passive NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please fill UBO declaration in the next section)
		Nature of Business _____

UBO Declaration

- Category (Please tick applicable category) Unlisted Company Partnership Firm
 Limited Liability Partnership Company Unincorporated association/body of individuals
 Public Charitable Trust Religious Trust Private Trust
 Others (please specify) _____

Please list below the details of controlling person(s), confirming ALL countries of tax residency/permanent residency/citizenship and ALL Tax identification Numbers for EACH controlling person(s).
 Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name - Beneficial owner / Controlling person	Tax ID Type - TIN or other, please specify.	Tax ID Type - TIN or other, please specify
Country - Tax Residency	Beneficial Interest - in percentage	Beneficial Interest - in percentage
Tax ID No. - or functional equivalent for each country"	Type Code - of countrolling person"	Type Code - of countrolling person"
1. Name _____	Tax ID Type _____	Address _____
Country _____	Type Code _____	_____
Tax ID No. _____	Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	ZIP <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> State: _____ Country: _____
2. Name _____	Tax ID Type _____	Address _____
Country _____	Type Code _____	_____
Tax ID No. _____	Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	ZIP <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> State: _____ Country: _____
3. Name _____	Tax ID Type _____	Address _____
Country _____	Type Code _____	_____
Tax ID No. _____	Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	ZIP <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> State: _____ Country: _____

If passive NFE, please provide below additional details.

PAN/Any other Identification Number <small>(PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Licence NREGA Job Card, Others)</small>	Occupation Type - <i>Service, Business, Others</i>	DOB - <i>Date of Birth</i>
City of Birth - Country of Birth	Nationality	Gender - <i>Male, Female, Others</i>
	Father's Name - <i>Mandatory if PAN is not available</i>	

1. PAN		Occupation Type		DOB	D	D	/	M	M	/	Y	Y	Y	Y
City of Birth		Nationality		Gender	Male	<input checked="" type="checkbox"/>	Female	<input checked="" type="checkbox"/>	Others	<input checked="" type="checkbox"/>				
Country of Birth		Father's Name												

2. PAN		Occupation Type		DOB	D	D	/	M	M	/	Y	Y	Y	Y
City of Birth		Nationality		Gender	Male	<input checked="" type="checkbox"/>	Female	<input checked="" type="checkbox"/>	Others	<input checked="" type="checkbox"/>				
Country of Birth		Father's Name												

3. PAN		Occupation Type		DOB	D	D	/	M	M	/	Y	Y	Y	Y
City of Birth		Nationality		Gender	Male	<input checked="" type="checkbox"/>	Female	<input checked="" type="checkbox"/>	Others	<input checked="" type="checkbox"/>				
Country of Birth		Father's Name												

Additional details to be filled by controlling persons with tax residency/permanent residency/citizenship/Green Card in any country other than India.

* To include US, where controlling person is a US citizen or green card holder

" In case Tax Identification Number is not available, kindly provide functional equivalent.

FATCA & CRS Terms and Conditions

Towards Compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account opening or any time subsequently. In certain circumstances we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you. Please ensure you advise us promptly, i.e. within 30 days. Towards compliance with such laws, 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 or any proceeds in relation thereto. As may be required by domestic or overseas regulators/tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).


If any controlling person of the entity is a US citizen or resident or greencard holder, please include United States in the foreign country information field along with the US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are Contained in the US Hire Act 2010. Please note that you may receive more than one request for information if you have multiple relationships with ABC. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information


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.

Name

Designation


(34)





Sole/First Authorised Signatory

Second Authorised Signatory

Third Authorised Signatory

Place: _____

Date: _____

Risk Assessment of Client in terms of PMLA 2002

Type of Client	High Risk	Low Risk	Medium Risk	CSC (Client Special Category)	PEP (Politically Exposed Person)
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at the time of account opening

Categorisation of client would be changed only if there is change based on risk assessment of the client during his dealings with Prarambh Securities Pvt. Ltd.

For Prarambh Securities Pvt. Ltd.

Director/Authorised Signatory

Confirmation of Receipt of executed documents

Client Code: _____

Dear Sir,

I/We hereby confirm that I/we have read, understood, agreed and received a duly executed copy of the:

- Account Opening Form
- Trading Account Related Details & Tariff Sheet (Trading & Demat Account)
- Rights and Obligations of Stock Brokers, Sub-Brokers and Clients
- Internet & Wireless technology based trading facility provided by Stock Brokers to Clients
- Risk Disclosure Documents for capital market and derivative segments
- Guidance note-Do's and Dont's for trading on the Exchange(s) for investors
- Policies and Procedures
- Terms & Conditions as Mutually agreed by me & FATCA & CRS Terms & Conditions
- Other disclosure/documents as agreed by me specially in voluntary segment

I/We am/are abiding by these terms & conditions. I/We reconfirm that I/We and stock broker shall refer any claim and/or disputes with respect to deposits, margin money, etc. to arbitration as per Rules, Byelaws and Regulation of the Exchanges where trade is executed and circulars/notices issued there under as may be in force from time to time.

I/We reconfirm that I/we and Stock Broker shall refer all claims, differences or disputes between us arising out of or in relation to dealings contracts and transaction made subject to the Bye-Laws, Rules and Regulations of the Exchange or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions and contracts have entered into arbitraion in accordance with the provisions of the Byelaws and Regulations.

Thanks and Best regards,

Client Code: _____

For _____


(35)

Authorised Signatory Name

For Prarambh Securities Pvt. Ltd.

Director/Authorised Signatory

DP Tariff Detail

DP ID	83900	
About Us	Prarambh Securities Pvt. Ltd. (formerly known as Suman Realtors Advisory Pvt. Ltd.) is an integrated securities firm offering a wide range of services including institutional broking, retail broking, private wealth management, and financial product distribution. And sees its role as 'Creating Informed Access to the Wealth of the Nation' for its diversified set of clients that include corporate, financial institutions, high net-worth individuals and retail investors.	
Services	Trading in the Stock Market in different products viz. Capital Market, Equity Derivatives & Currency Derivatives, Invest in IPO's / Mutual Funds & providing Depository Services using which ever mode that suits you best	
Tariffs	Statutory Charges at the time of Account Opening	Stamp Paper Rs. 500/- for POA Agreement
	Advance / Deposit	Nil
	Account Maintenance	FOR BSDA CLIENT Up to ₹4 lakhs (value of holding in demat account) - charges Nil , More than ₹4 lakhs but up to ₹10 lakhs ? charges ₹100 & More than ₹10 lakhs- Not a BSDA. Regular AMC may be levied. FOR NON BSDA CLIENT Non Individual Rs.500/- for a year unless opted for Non Individual Rs.2500/- lifetime AMC
	Demat	Rs.3/- per certificate plus courier charges as per demat request
	Remat	Rs.25/- per certificate plus courier charges as per demat request
	Transaction (Debit)	Rs.20/- per script
	Pledge Creation	Pledge Rs.25/- per script ,Margin Pledge & Release of Margin Pledge: Rs 10/- per script
	Pledge Creation Confirmation	Pledge Rs.25/- per script ,Margin Pledge & Release of Margin Pledge: Rs 10/- per script
	Pledge Closure	Pledge Rs.25/- per script ,Margin Pledge & Release of Margin Pledge: Rs 10/- per script
	Pledge Closure Confirmation	Pledge Rs.25/- per script ,Margin Pledge & Release of Margin Pledge: Rs 10/- per script
	Pledge Invocation	Pledge Rs.50/- per script ,Margin Pledge & Release of Margin Pledge: Rs 10/- per script
	Failed Instruction Charges	
	Other Charges	Nil
	Designated Director Under PMLA	Mr. JAYESH G KUWADIA
Email id of Designated Director	prarambhsec@gmail.com	
BSDA Charges	No	Remarks

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