

Ashika Stock Services Ltd.



**ashika**

Growing and Sharing with you

# ACCOUNT OPENING FORM

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

Trading A/C. No. : \_\_\_\_\_

Referred by : \_\_\_\_\_ Code (if any) \_\_\_\_\_

Stocks | Mutual Fund | ETF | Commodities | Bonds |  
F&O | Depository | Research | IPO

## DOCUMENTS CHECKLIST

### INDIVIDUALS

1. Photograph
2. PAN
3. Aadhar
4. Proof of Permanent Address
5. Correspondence Address
6. Bank Proof with MICR Code (cancelled Cheque)
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. Cheque for DP AMC (as per the scheme opted)

### NRI

1. Photograph
2. PAN
3. Aadhar (if available)
4. Proof of Foreign Address
5. Proof of Local Address
6. Additional Documents
  - a. Passport with visa copy/PIO Card/OCI Card
  - b. PIS Declaration Copy
  - c. In case of Merchant Navy NRIs, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate)
7. Bank Proof with MICR Code (Cancelled Cheque)
8. Demat Proof (required if opening only a trading account)
9. Income Proof (for trading in derivatives segments)
10. Cheque for DP AMC (as per the scheme opted)

### HUF

1. Photograph of Karta
2. PAN -
  - a. HUF
  - b. Karta
3. Proof of Address -
  - a. HUF
  - b. Karta
4. Aadhar of Karta\*
5. Deed of Declaration of HUF/List of coparceners
6. Bank Proof with MICR Code of the HUF (cancelled Cheque)
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. Cheque for DP AMC (as per the scheme opted)
10. UBO Declaration

### CORPORATE

1. Photograph
  - a. Whole time directors/two directors in charge of day to day operations
  - b. Individual promoters holding control – either directly or indirectly
2. Proof of Address
  - a. Whole time directors/two directors in charge of day to day operations
  - b. Individual promoters holding control – either directly or indirectly
  - c. Applicant

3. PAN –
  - a. of Company
  - b. Whole time directors/two directors in charge of day to day operations
  - c. Individual promoters holding control – either directly or indirectly
4. Aadhar of person holding attorney to transact on company's behalf\*
5. DIN Number
  - a. Whole time directors/two directors in charge of day to day operations
6. Bank Proof with MICR Code (cancelled Cheque) with Bank Statement
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. Balance Sheet and Profit & Loss account with net-worth information for last two years or for applicable period.
10. Share Holding Pattern (as of last quarter or more recent)
11. Memorandum and Articles of Association and certificate of incorporation
12. Board Resolution
13. Form 32 / DIR 12 with Challan
14. List of Directors
15. Authorized signatories List
16. UBO Declaration
17. Cheque for DP AMC (as per the scheme opted)

### PARTNERSHIP FIRM

1. Photograph of all the Partners
2. PAN -
  - a. Partnership Firm
  - b. All the Partners
3. Proof of Address -
  - a. Partnership Firm
  - b. All the Partners
4. Aadhaar of person holding attorney to transact on Firm's behalf\*
5. Balance Sheet and Profit & Loss account for last two years or for applicable period.
6. Copy of Partnership Deed
7. Certificate of Registration (for registered Partnership Firms only)
8. Authorized Signatories list with specimen signatures
9. Bank Proof with MICR Code (cancelled Cheque)
10. Demat Proof (required if opening only a trading account)
11. Income Proof (for trading in derivatives segments)
12. UBO Declaration
13. Cheque for DP AMC (as per the scheme opted)
14. Declaration as per format

### LIMITED LIABILITY PARTNERSHIP (LLP)

1. Photograph of all the Partners
2. PAN -
  - a. LLP
  - b. All the Partners
3. Proof of Address -
  - a. LLP
  - b. All the Partners

4. Aadhaar of person holding attorney to transact on firm's behalf\*
5. Balance Sheet and Profit & Loss account for last two years or for applicable period
6. Net-worth certificate (certified by a CA)
7. Copy of Partnership Deed
8. Certificate of Registration
9. Authorized Signatories list with specimen signatures (as per our format)
10. Bank Proof with MICR Code (cancelled Cheque)
11. Demat Proof (required if opening only a trading account)
12. Income Proof (for trading in derivatives segments)
13. UBO Declaration
14. Cheque for DP AMC (as per the scheme opted)
15. Declaration as per format

### TRUST

1. Photograph of all the signatories
2. PAN -
  - a. Trust
  - b. All the signatories
3. Proof of Address
  - a. Trust
  - b. All the signatories
4. Aadhaar of person holding attorney to transact on Trust's behalf\*
4. Balance Sheet and Profit & Loss account for last two years of for applicable period.
5. Copy of Trust Deed
6. Certificate of Registration (for registered trusts only)
7. List of Trustees certified by Managing Trustees/CA
8. Bank Proof with MICR Code (cancelled Cheque)
9. Demat Proof (required if opening only a trading account)
10. Income Proof (for trading in derivatives segments)
11. UBO Declaration
12. Cheque for DP AMC (as per the scheme opted)

### FOREIGN INSTITUTIONAL INVESTORS (FIIS)

1. Photograph of all the signatories
2. PAN
  - a. Bank/Institutional Investors
  - b. All the Signatories
3. Proof of Address
4. Copy of the SEBI registration certificate
5. Authorized Signatories list with specimen signatures
6. Bank Proof with MICR Code (cancelled Cheque)
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. UBO Declaration
10. Cheque for DP AMC (as per the scheme opted)



# Ashika Stock Services Limited (ASSL)

CIN : U65921WB1994PLC217071

Account Opening KIT -  
Trading and Demat

<b>Registered Office</b>	'Trinity', 226/1, A.J.C. Bose Road, 7th Floor, Kolkata-700 020 Phone : 033-40102500 E-mail: ashika@ashikagroup.com Website : www.ashikagroup.com
<b>Corporate Office</b>	1008, 10th Floor, Raheja Centre 214, Nariman Point, Mumbai-400 021 T : 022-66111700 E : mumbai@ashikagroup.com
	Altimus, Level 35, Dr. G. M. Bhosale Marg, Worli, Mumbai 400 018   T: +91 22 6372 0000

<b>Members</b>	National Stock Exchange of India Ltd. (NSE) (08334) Bombay Stock Exchange Ltd. (BSE) (912) Metropolitan Stock Exchange of India Limited (MSE) (18300) Multi Commodity Exchange of India Ltd. (MCX) (56415) National Commodity & Derivatives Exchange Ltd. (NCDEX) (1286)
<b>Depository Participant</b>	Central Depository Services India Ltd. (CDSL) National Securities Depository Ltd. (NSDL)
<b>Depository</b>	<b>Registration No.</b>
CDSL / NSDL	IN-DP-533-2020

Form No. **12601**

<b>SEBI Registration No.</b>	<b>INZ000169130</b>
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<b>Managing Director</b>	<b>Mr. DAULAT JAIN</b> Tel: (033) 40102500 Email: ashika@ashikagroup.com
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<b>Compliance Officers</b>	<b>Trading</b>	<b>Mr. NAWAL KISHORE KEDIA</b> Tel. : (033) 4010 2500 E-mail ID : nawalkishore@ashikagroup.com
	<b>DP</b>	<b>Mr. NAND KISHOR JAJOO</b> Tel. : (033) 4010 2500 E-mail ID : nkjajoo@ashikagroup.com

### Clearing Member Details

Exchange segment	Clearing Member	Clearing Member Code
NSE CDX	Ashika Stock Services Limited	M51135
BSE CDX		
MSE CDX		
NSE FO		
BSE FO		
MSE FO		
NSE CO		
MCX		
NCDEX		7055
BSE CO	Globe Capital Market Limited	3179

For any grievance/dispute please contact Ashika Stock Services Limited (ASSL) at the above address or mail at: [ig@ashikagroup.com](mailto:ig@ashikagroup.com) (for Trading) and [dpservices@ashikagroup.com](mailto:dpservices@ashikagroup.com) (for DP) or call us at our Toll Free No. 1800 212 2525 or at +91-33-4010 2525

In case you are not satisfied with the response, please contact the concerned Exchange(s)/Depository(ies):

<b>Exchange / Depository Contacts</b>	<b>National Stock Exchange of India Limited (NSE)</b> , Phone : 022-26598190 • Email : <a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>
	<b>BSE Limited (BSE)</b> , Phone : 022-22728097 • Email : <a href="mailto:is@bseindia.com">is@bseindia.com</a>
	<b>Metropolitan Stock Exchange of India Limited (MSE)</b> Phone: 022-61129000, EXT 9028 • Email : <a href="mailto:investorscomplaints@mse.in">investorscomplaints@mse.in</a>
	<b>Multi Commodity Exchange of India Ltd. (MCX)</b> , Phone: 022-67318888, 66494000 • E-mail: <a href="mailto:grievance@mcxindia.com">grievance@mcxindia.com</a>
	<b>Central Depository Services India Limited (CDSL)</b> , Toll Free no. : 1800-200-5533 • Email : <a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a>
	<b>National Securities Depository Limited (NSDL)</b> , Phone : 022-24994200 • Email : <a href="mailto:relations@nsdl.co.in">relations@nsdl.co.in</a>
	<b>National Commodity &amp; Derivatives Exchange Limited (NCDEX)</b> , Phone : 022-66406789 • Email : <a href="mailto:ig@ncdex.co.in">ig@ncdex.co.in</a>

You may also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575/18002667575

### FILING OF COMPLAINTS ON SCORES –

**Easy & quick:** In order to make the complaint redressal mechanism through SCORES more efficient, the aggrieved Investor can file their respective complaint as per the credentials mentioned below:-

#### a. Register on SCORES portal :

Get yourself registered,

#### b. Mandatory details for filing complaints on SCORES:

i. Name, PAN, Address, Mobile Number, Email ID,

#### c. Benefits:

i. Effective communication, ii. Speedy redressal of the grievances.

Please refer SCORES website link <https://scores.gov.in/scores/Welcome.html> and the FAQs available thereon.



## ACCOUNT OPENING KIT - INDEX

This KIT is valid for opening Trading and Demat Account with Ashika Stock Services Limited.  
Clients desirous of opening both or any can utilise the relevant segments of this KIT.

*The Trading Code for different desired Segments of the respective Exchanges and Demat account number will be provided on successful generation of the same.*

### MANDATORY DOCUMENTS

Sl.	Name of the Document	Brief Significance of the Document	Pg No.
1	Know Your Client Form (Individual)	KYC Form captures the basic information about the Client (Trading & Demat)	1-6
2	Know Your Client Form (Non-Individual)	KYC Form captures the basic information about the Client (Trading & Demat)	7-12
3	Additional KYC Form	Additional KYC related details for Trading & Demat Account (Both Individual & Non Individual)	13-16
4	MITC	Document describing Most Important Terms & Condition of Client's Trading & Demat Account	17
5	Nomination Form	Format for opting and opting out in Nomination and Declaration thereof	18-21
6	Policies & Procedures	Document describing significant policies and procedures of member with respect to dealing with clients (Equity & Commodity)	22-25
7	Tariff Sheet (Equity/ Commodity & Demat)	Document detailing the rate / amount of brokerage & other charges	26-27
8	Client Commodity-wise Categorization	Document towards commoditywise categorisation as a participant	28
9	Rights & Obligations of Members, Authorised Persons and Clients	Document stating the Rights & Obligations of Member, Authorised Person and Client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading)	<b>Client Copy</b>
10	RDD	Document detailing risks associated with dealing in the Equity & Commodity market.	
11	Do's and Don'ts for the investors	Document detailing do's and don'ts for trading on Equity & Commodity Exchanges, for the education of the investors.	
12	Rights & Obligation of Beneficial Owner & Depository Participant	Document detailing rights and obligations of beneficial owner and depository participant	

### Non-Mandatory Documents as provided by Ashika Stock Services Ltd.

13	DDPI	Demat Debit & Pledge Instruction & Authorisation	29-30
14	BSDA Declaration	Declaration for Basic Services Demat Account (BSDA)	31
15	Issue of DIS Booklet	Declaration pertaining to Option Form for Issue of DIS Booklet	32
16	FATCA / CRS-Individual	Declaration pertaining to foreign tax liability for individual	33-34
17	FATCA / CRS-Non-Individual	Declaration pertaining to foreign tax liability for non-individual	35-37
18	UBO / Controlling Persons Declaration	Declaration Form of Ultimate Beneficial Ownership [UBO] / Controlling Persons. <b>(Non Individual only)</b>	38
19	Declaration/ Mandate	Common Email ID/Mobile Number & Pledge of Securities towards Margin	39
20	Declaration / Authorisation	Declaration for smooth operation & adherence of compliance	40-41
21	Declaration	Declaration on Open Interest Position.	41
22	Authority Letter for Running Account	Authorisation to maintain a running account for funds.	42
23	Do's & Don'ts	It contains Do's & Don'ts which are relevant for the operations of trading and demat account	43
24	Questionnaire/Social Media Information of the Client	It contains the Common Questions towards Risk Profiling of Clients / Captures Social Media presence of the client	44
25	Online-Offline Trading and Authorization	It contains client authorisation for Internet Trading and Online-Offline Trading	45
26	PMLA Statement	It contains Prevention of Money-Laundering statement for Client Education.	46
27	CKYC Download	It contains the permission to download the clients' CKYCs from website to Broker's storage	47
28	MTF	Margin Trading Facility (including Right and Obligations)	48-51

### Suggestive Formats

29	Authorisation Format For Partnership & LLP	Declaration Form by Partners ( in case of Demat), Firm ( in case of trading ), Authority letter in favour of Managing Partner and Resolution in case of LLP (Demat a/c)	52-53
30	Board Resolution	Format of Board Resolution as applicable to Corporate / Trust	54
31	HUF Declaration	Authority-cum-declaration for HUF & Joint Family	55



Important Instructions:

- A) Fields marked with '\*\*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the form in English and in BLOCK letters.
D) Please fill the date in DD-MM-YYYY format.
E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.
F) Please read section wise detailed guidelines / instructions at the end.
G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
H) List of two character ISO 3166 country codes is available at the end.
I) KYC number of applicant is mandatory for update application.
J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode.

For office use only Application Type\* [ ] New [ ] Update
KYC Number (Mandatory for KYC update request)
Account Type\* [ ] Normal [ ] Minor [ ] Aadhaar OTP based (in non-face to face mode)

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

Name\* (Same as ID proof) Prefix First Name Middle Name Last Name
Maiden Name
Father / Spouse Name
Mother Name
Date of Birth\* DD-MM-YYYY
Gender\* [ ] M- Male [ ] F- Female [ ] T-Transgender
Marital Status [ ] Married [ ] Unmarried [ ] Others
Citizenship [ ] IN-Indian [ ] Others (ISO 3166 Country Code [ ][ ])
Residential Status [ ] Residential Individual [ ] Non-Resident Indian [ ] Foreign National [ ] Person of Indian Origin
PAN\*

2. PROOF OF IDENTITY AND ADDRESS\* (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)
[ ] A- Passport Number
[ ] B- Voter ID Card
[ ] C- Driving Licence
[ ] D- NREGA Job Card
[ ] E- National Population Register Letter
[ ] F- Proof of Possession of Aadhaar
II. [ ] E-KYC Authentication
III. [ ] Offline verification of Aadhaar
Address
Line 1\*
Line 2
Line 3
District\* Pin/Post Code\* State/U.T. Code\* ISO 3166 Country Code\*
PHOTO\*
Affix recent passport size Photograph and Sign across it
Signature / Thumb Impression

3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

[ ] Same as above mentioned address (in such cases address details as below need not be provided)
I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)
[ ] A- Passport Number
[ ] B- Voter ID Card
[ ] C- Driving Licence
[ ] D- NREGA Job Card
[ ] E- National Population Register Letter
[ ] F- Proof of Possession of Aadhaar
II [ ] E-KYC Authentication
III [ ] Offline verification of Aadhaar
IV [ ] Deemed Proof of Address - Document Type code [ ][ ]
V [ ] Self Declaration
Address
Line 1\*
Line 2
Line 3
District\* Pin/Post Code\* State/U.T. Code\* ISO 3166 Country Code\*

4. CONTACT DETAILS (All communications will be sent on Mobile number, / Email-ID provided) (Please refer instruction C at the end)

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


5. REMARKS (If any)

6. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA only for the specific purpose of validating/ maintaining/sharing my KYC record and as an audit evidence. I will have an option to request for deletion of my Aadhaar record.
- I am/We are also aware that for Aadhaar OVD based KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have business relationship for KYC purposes only.
- I hereby consent to receiving information from Central KYC/KRA Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]

Date : -- Place :

 Signature / Thumb Impression of Applicant

7. ATTESTATION / FOR OFFICE USE ONLY

- Documents Received  Certified Copies  E-KYC data received from UIDAI  Data received from Offline verification  Digital KYC process  
 Equivalent e-document  Video Based KYC

- KYC DOCUMENT VERIFIED BY  Client interviewed by

Date --  
 Emp. Name   
 Emp. Code   
 Emp. Designation   
 Emp. Branch

[Employee Signature]

IN PERSON VERIFICATION (IPV) CARRIED OUT BY

Date --  
 Name   
 Code   
 Designation   
 Name of the Organisation   
 [Signature]

INSTITUTION DETAILS

Name  Ashika Stock Services LTD.  
 Code  IN0711  
 [Institution Stamp]

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

- 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 of the following is mandatory : Mother's name, Spouse's name, Father's name.
- 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 online 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 licence 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 documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.  
 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 Identities 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).  
 2 Do not add '0' in the beginning of Mobile number.
- 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.



Important Instructions:

- A) Fields marked with '\*\*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the form in English and in BLOCK letters.
D) Please fill the date in DD-MM-YYYY format.
E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.
F) Please read section wise detailed guidelines / instructions at the end.
G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
H) List of two character ISO 3166 country codes is available at the end.
I) KYC number of applicant is mandatory for update application.
J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode.

For office use only Application Type\* [ ] New [ ] Update
KYC Number [ ] (Mandatory for KYC update request)
Account Type\* [ ] Normal [ ] Minor [ ] Aadhaar OTP based (in non-face to face mode)

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

Name\* (Same as ID proof) Prefix First Name Middle Name Last Name
Maiden Name
Father / Spouse Name
Mother Name
Date of Birth\* DD-MM-YYYY
Gender\* [ ] M- Male [ ] F- Female [ ] T-Transgender
Marital Status [ ] Married [ ] Unmarried [ ] Others
Citizenship [ ] IN-Indian [ ] Others (ISO 3166 Country Code [ ])
Residential Status [ ] Residential Individual [ ] Non-Resident Indian [ ] Foreign National [ ] Person of Indian Origin
PAN\*

2. PROOF OF IDENTITY AND ADDRESS\* (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)
[ ] A- Passport Number [ ] PHOTO\*
[ ] B- Voter ID Card
[ ] C- Driving Licence
[ ] D- NREGA Job Card
[ ] E- National Population Register Letter
[ ] F- Proof of Possession of Aadhaar
II. [ ] E-KYC Authentication
III. [ ] Offline verification of Aadhaar
Address
Line 1\*
Line 2
Line 3 City / Town / Village\*
District\* Pin/Post Code\* State/U.T. Code\* ISO 3166 Country Code\*



3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

[ ] Same as above mentioned address (in such cases address details as below need not be provided)
I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)
[ ] A- Passport Number
[ ] B- Voter ID Card
[ ] C- Driving Licence
[ ] D- NREGA Job Card
[ ] E- National Population Register Letter
[ ] F- Proof of Possession of Aadhaar
II [ ] E-KYC Authentication
III [ ] Offline verification of Aadhaar
IV [ ] Deemed Proof of Address - Document Type code [ ]
V [ ] Self Declaration
Address
Line 1\*
Line 2
Line 3 City / Town / Village\*
District\* Pin/Post Code\* State/U.T. Code\* ISO 3166 Country Code\*

4. CONTACT DETAILS (All communications will be sent on Mobile number, / Email-ID provided) (Please refer instruction C at the end)

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

5. REMARKS (If any)

6. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA only for the specific purpose of validating/ maintaining/sharing my KYC record and as an audit evidence. I will have an option to request for deletion of my Aadhaar record.
- I am/We are also aware that for Aadhaar OVD based KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked. Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have business relationship for KYC purposes only.
- I hereby consent to receiving information from Central KYC/KRA Registry through SMS/Email on the above registered number/email address.

Date : -- Place :

 Signature / Thumb Impression of Applicant

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received  Certified Copies  E-KYC data received from UIDAI  Data received from Offline verification  Digital KYC process  
 Equivalent e-document  Video Based KYC

KYC DOCUMENT VERIFIED BY  Client interviewed by

Date --  
 Emp. Name   
 Emp. Code   
 Emp. Designation   
 Emp. Branch

[Employee Signature]

IN PERSON VERIFICATION (IPV) CARRIED OUT BY

Date --  
 Name   
 Code   
 Designation   
 Name of the Organisation

[Signature]

INSTITUTION DETAILS

Name  Ashika Stock Services LTD.  
 Code  IN0711

[Institution Stamp]



Important Instructions:

- A) Fields marked with '\*\*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the form in English and in BLOCK letters.
D) Please fill the date in DD-MM-YYYY format.
E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.
F) Please read section wise detailed guidelines / instructions at the end.
G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
H) List of two character ISO 3166 country codes is available at the end.
I) KYC number of applicant is mandatory for update application.
J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode.

For office use only Application Type\* [ ] New [ ] Update
KYC Number (Mandatory for KYC update request)
Account Type\* [ ] Normal [ ] Minor [ ] Aadhaar OTP based (in non-face to face mode)

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

Name\* (Same as ID proof) Prefix First Name Middle Name Last Name
Maiden Name
Father / Spouse Name
Mother Name
Date of Birth\* DD-MM-YYYY
Gender\* [ ] M- Male [ ] F- Female [ ] T-Transgender
Marital Status [ ] Married [ ] Unmarried [ ] Others
Citizenship [ ] IN-Indian [ ] Others (ISO 3166 Country Code [ ][ ])
Residential Status [ ] Residential Individual [ ] Non-Resident Indian [ ] Foreign National [ ] Person of Indian Origin
PAN\*

2. PROOF OF IDENTITY AND ADDRESS\* (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)
[ ] A- Passport Number
[ ] B- Voter ID Card
[ ] C- Driving Licence
[ ] D- NREGA Job Card
[ ] E- National Population Register Letter
[ ] F- Proof of Possession of Aadhaar
II. [ ] E-KYC Authentication
III. [ ] Offline verification of Aadhaar
Address
Line 1\*
Line 2
Line 3 City / Town / Village\*
District\* Pin/Post Code\* State/U.T. Code\* ISO 3166 Country Code\*

PHOTO\*
Affix recent passport size Photograph and Sign across it
Signature / Thumb Impression

3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

[ ] Same as above mentioned address (in such cases address details as below need not be provided)
I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)
[ ] A- Passport Number
[ ] B- Voter ID Card
[ ] C- Driving Licence
[ ] D- NREGA Job Card
[ ] E- National Population Register Letter
[ ] F- Proof of Possession of Aadhaar
II [ ] E-KYC Authentication
III [ ] Offline verification of Aadhaar
IV [ ] Deemed Proof of Address - Document Type code [ ][ ]
V [ ] Self Declaration
Address
Line 1\*
Line 2
Line 3 City / Town / Village\*
District\* Pin/Post Code\* State/U.T. Code\* ISO 3166 Country Code\*

4. CONTACT DETAILS (All communications will be sent on Mobile number, / Email-ID provided) (Please refer instruction C at the end)

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


5. REMARKS (If any)

6. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA only for the specific purpose of validating/ maintaining/sharing my KYC record and as an audit evidence. I will have an option to request for deletion of my Aadhaar record.
- I am/We are also aware that for Aadhaar OVD based KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have business relationship for KYC purposes only.
- I hereby consent to receiving information from Central KYC/KRA Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]

Date : -- Place :

 Signature / Thumb Impression of Applicant

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received  Certified Copies  E-KYC data received from UIDAI  Data received from Offline verification  Digital KYC process  
 Equivalent e-document  Video Based KYC

KYC DOCUMENT VERIFIED BY  Client interviewed by

Date --  
 Emp. Name   
 Emp. Code   
 Emp. Designation   
 Emp. Branch

[Employee Signature]

IN PERSON VERIFICATION (IPV) CARRIED OUT BY

Date --  
 Name   
 Code   
 Designation   
 Name of the Organisation

[Signature]

INSTITUTION DETAILS

Name  Ashika Stock Services LTD.  
 Code  IN0711

[Institution Stamp]



Important Instructions:

- A) Fields marked with "\*" are mandatory fields.
- B) Tick '✓' wherever applicable.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please fill the form in English and in BLOCK letters.
- E) KYC number of applicant is mandatory for update application.
- F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- G) List of two character ISO 3166 country codes is available at the end.
- H) Please read section wise detailed guidelines / instructions at the end.
- I) For particular section update, please tick '✓' in the box available before the section number and strike off the sections not required to be updated.

For office use only      Application Type\*     New       Update  
 (To be filled by financial institution)    KYC Number     (Mandatory for KYC update request)

1. ENTITY DETAILS (Please refer instruction A at the end)

Name\*   

Entity Constitution Type\*     Others (Specify)    (Please refer instruction B at the end)

Date of Incorporation / Formation\*    --    Date of Commencement of business    --

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

PAN\*         Form 60 furnished

TIN / GST Registration Number   

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

Officially valid document(s) in respect of person authorised to transact

Certificate of Incorporation / Formation         Registration Certificate     Regn Certificate No.

Memorandum and Articles of Association     Partnership Deed     Trust Deed

Resolution of Board / Managing Committee     Power of Attorney granted to its manager, officers or employees to transact on its behalf

Activity Proof - 1 (For Sole Proprietorship Only)     Activity Proof - 2 (For Sole Proprietorship Only)

3. Address\* (Please refer instruction C at the end)

3.1 Registered Office Address / Place of Business\*

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

Line 1\*   

Line 2   

Line 3        City / Town / Village\*   

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

3.2 Local Address in India (if different from Above)\*

Line 1\*   

Line 2   

Line 3        City / Town / Village\*   

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

4. Contact Details (All communications will be sent to Mobile number / Email-ID provided\* may be used) (Please refer instruction D at the end)

Tel (Off.)    -    FAX    -

Mobile    -    Email ID   

Mobile    -    Email ID   

5. NUMBER OF RELATED PERSONS     (Please refer instruction E at the end)

6. REMARKS (If any)


## 7. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting. I am aware that may be held liable for it
- I/we hereby consent to receiving information from Central KYC / KRA Registry through SMS/Email on the above registered number/ email address.

[Signature / Thumb Impression]

Date :    -    -

Place :

 Signature / Thumb Impression of Authorised Person(s)

## 8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received  Certified Copies  Equivalent e-document

### KYC DOCUMENT VERIFIED CARRIED OUT BY

Identity Verification  Done Date    -    -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

### INSTITUTION DETAILS

Name  Ashika Stock Services LTD.

Code  IN0711

[Institution Stamp]

## CENTRAL KYC REGISTRY | Instructions / Check List / Guidelines for filling Legal Entity / Other than Individuals KYC Application Form

### A Clarification / Guidelines for filing Entity Details section

#### 1 Entity Constitution Type

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

2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available.

### B Clarification / Guidelines for filling 'Proof of Identity[Pol]' section

- Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
- Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
- 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

### C Clarification / Guidelines for filling 'Proof of Address [PoA]' section

- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- Certified copy of document or equivalent e-document to be submitted.

### D Clarification / Guidelines for filling 'Contact Details' section

- 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.

### E Clarification / Guidelines for filling 'Related Person Details' section

- Personal Details
  - The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- Proof of Address [PoA]
  - PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
  - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
  - In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
  - REs may use the Self Declaration check box where 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 Identities Data Repository.
- If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
- 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.

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



Important Instructions:

- A) Fields marked with "\*" are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the date in DD-MM-YYYY format.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant is mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines / instructions at the end.
I) For particular section update, please tick '✓' in the box available before the section number and strike off the sections not required to be updated.

For office use only Application Type\* [ ] New [ ] Update [ ] Delete
(To be filled by financial institution) KYC Number [ ] (Mandatory for KYC update and delete request)

1. DETAILS OF RELATED PERSON\* (Please refer instruction E at the end)

[ ] Addition of Related Person [ ] Deletion of Related Person [ ] Update Related Person Details
KYC Number of Related Person (if available\*) [ ] If KYC number is available only 'Related Person Type' & 'Name' is mandatory
Related Person Type\* [ ] Director [ ] Promoter [ ] Karta [ ] Trustee [ ] Partner [ ] Court Appointment Official [ ] Proprietor
[ ] Beneficiary [ ] Authorised Signatory [ ] Beneficiary Owner [ ] Other (Please Specify [ ] Other (Please Specify
DIN (Director Identification Number) [ ] (Mandatory if Related Person Type is Director)

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

[ ] Name\* (Same as ID proof) Prefix First Name Middle Name Last Name
Maiden Name
Father / Spouse Name
Mother Name
Date of Birth\* DD - MM - YYYY
Gender\* [ ] M- Male [ ] F- Female [ ] T-Transgender
Nationality\* [ ] IN- Indian [ ] Others (IS) 3166 Country Code [ ]
PAN\* [ ] Form 60 furnished

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

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)
[ ] A- Passport Number [ ] PHOTO\*
[ ] B- Voter ID Card
[ ] C- Driving Licence
[ ] D- NREGA Job Card
[ ] E- National Population Register Letter
[ ] F- Proof of Possession of Aadhaar
II. [ ] E-KYC Authentication
III. [ ] Offline verification of Aadhaar
Address
Line 1\*
Line 2
Line 3 City / Town / Village\*
District\* Pin/Post Code\* State/U.T. Code\* ISO 3166 Country Code\*

1.3 CURRENT ADDRESS DETAILS (Please refer instruction E at the end)

[ ] Same as above mentioned address (in such cases address details as below need not be provided)
I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)
[ ] A- Passport Number
[ ] B- Voter ID Card
[ ] C- Driving Licence
[ ] D- NREGA Job Card
[ ] E- National Population Register Letter
[ ] F- Proof of Possession of Aadhaar
II [ ] E-KYC Authentication
III [ ] Offline verification of Aadhaar
IV [ ] Deemed PoA
V [ ] Self Declaration

Address

Line 1\*

Line 2

Line 3  City / Town / Village\*

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

1.4 Contact Details (All communications will be sent to Mobile number / Email-ID (Please refer instruction D at the end))

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

Email ID

2. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA only for the specific purpose of validating/ maintaining/sharing my KYC record and as an audit evidence. I will have an option to request for deletion of my Aadhaar record.
- I am/We are also aware that for Aadhaar OVD based KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked. Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have business relationship for KYC purposes only.
- I hereby consent to receiving information from Central KYC/KRA Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]

Date : --

Place :



Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received  Certified Copies  E-KYC data received from UIDAI  Data received from Offline verification

Digital KYC process  Equivalent e-document

KYC DOCUMENT VERIFIED CARRIED OUT BY

Date --

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name  Ashika Stock Services LTD.

Code  IN0711

[Institution Stamp]



# KYC - APPLICATION FORM FOR TRADING AND DEMAT A/C - NON-INDIVIDUAL

Please fill this form in ENGLISH and in BLOCK LETTERS. (Use black ink)

## A. IDENTITY DETAILS

1	Name of the Applicant																			
2	Date of incorporation	D	D	M	M	Y	Y	Y	Y	Place of incorporation										
3	a. Business Commencement date	D	D	M	M	Y	Y	Y	Y	b. Regn. No. (eg. CIN)										
4	PAN, copy attached	<input type="checkbox"/>																		
5	Status (Please tick any one)	<input type="checkbox"/> Pvt. Ltd. Co.	<input type="checkbox"/> Public Ltd. Co.	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Partnership	<input type="checkbox"/> Charities	<input type="checkbox"/> Bank	<input type="checkbox"/> Society	<input type="checkbox"/> Trust	<input type="checkbox"/> Defense Establishment	<input type="checkbox"/> Others	<input type="checkbox"/> FII	<input type="checkbox"/> HUF	<input type="checkbox"/> AOP	<input type="checkbox"/> Non Govt. Organisation	<input type="checkbox"/> BOI	<input type="checkbox"/> LLP	<input type="checkbox"/> FI	<input type="checkbox"/> Government Body	<i>(Please specify)</i>

## B. ADDRESS DETAILS

1	Correspondence Address										
		City/Town/Village						PIN Code			
		State						Country			
2	Specify proof of correspondence address submitted										
3	Contact Details	Telephone (office)				Telephone (Res)					
		Fax No.				Mobile No.					
		Email ID									
4	Registered Address (if different from above.)										
		City/Town/Village						PIN Code			
		State						Country			
5	Specify proof of registered address submitted										

## C. DECLARATION

We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware we may be held liable for it and the same will render our account liable for termination and suitable action.

Place							Signature of Applicant	Date	D	D	M	M	Y	Y	Y	Y
-------	--	--	--	--	--	--	------------------------	------	---	---	---	---	---	---	---	---

Ashika Stock Services Limited

FOR OFFICE USE ONLY

	Documents verified with Originals by	Client interviewed by	In-Person Verification done by																					
Staff Name/ AP																								
Designation/ Reg. Code																								
Signature																								
Date	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y
<input type="checkbox"/> (Original verified) Self Certified Documents copies received		<input type="checkbox"/> (Self Attested) True copies of documents received																						
Sign/Seal/Stamp of the intermediary																								



**DETAILS OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLETIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC)**  
**Form should be filled in English and in Block Letters (Use Black ink only)**

Name of Applicant	PAN								
-------------------	-----	--	--	--	--	--	--	--	--

S.N.	Particulars	Photograph	Signature with Stamp
------	-------------	------------	----------------------

<b>1</b>	Name		
	Residential Address		
	Designation		
	PAN		Dt. of Birth
	DIN/UID		Contact No.
	Aadhaar No.		PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No

Affix recent passport size Photograph and Sign across it

<b>2</b>	Name		
	Residential Address		
	Designation		
	PAN		Dt. of Birth
	DIN/UID		Contact No.
	Aadhaar No.		PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No

Affix recent passport size Photograph and Sign across it

<b>3</b>	Name		
	Residential Address		
	Designation		
	PAN		Dt. of Birth
	DIN/UID		Contact No.
	Aadhaar No.		PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No

Affix recent passport size Photograph and Sign across it

<b>4</b>	Name		
	Residential Address		
	Designation		
	PAN		Dt. of Birth
	DIN/UID		Contact No.
	Aadhaar No.		PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No

Affix recent passport size Photograph and Sign across it

<b>5</b>	Name		
	Residential Address		
	Designation		
	PAN		Dt. of Birth
	DIN/UID		Contact No.
	Aadhaar No.		PEP/RPEP <input type="checkbox"/> Yes <input type="checkbox"/> No

Affix recent passport size Photograph and Sign across it

 <b>First Signatory</b>	<b>Second Signatory</b>	<b>Third Signatory</b>
----------------------------	-------------------------	------------------------

Place	Name and signature with Stamp of the Authorised Signatory(ies)	Date	D	D	M	M	Y	Y
-------	--	------	---	---	---	---	---	---

**Ashika Stock Services Limited**

**ADDITIONAL KYC RELATED DETAILS FOR TRADING & DEMAT A/C (For both Individual & Non-Individual)**

**Demat Account Preference (Please tick in relevant boxes)**

DP  Central Depository Services Limited (CDSL)  National Securities Depository Limited (NSDL)\*

I/We request you to open a Depository Account in my/our name as per the following details: (Please fill all the details in CAPITAL LETTERS only)

**DETAILS OF ACCOUNT HOLDER(S):**

	Sole / First Holder	Second Holder	Third Holder
Name			
PAN			
UID			
UCC			
Exchange Name			
Exchange ID			

For Association of Persons (AOP), Partnership Firm, Unregistered Trust etc., although the DEMAT account is opened in the name of the natural persons, the name & PAN of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc. should be mentioned below :

a. Name  b. PAN

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="text"/>
<input type="checkbox"/> Second Holder		
<input type="checkbox"/> Third Holder		

**Type of DEMAT Account**

For Individual Accounts	For Non-Individual Accounts	For NRI / FOREIGN NATIONAL Accounts
<input type="checkbox"/> Minor <input type="checkbox"/> Director <input type="checkbox"/> Ordinary Resident <input type="checkbox"/> Director's Relative <input type="checkbox"/> HUF/AOP <input type="checkbox"/> Margin Trading (MANTRA) <input type="checkbox"/> Margin <input type="checkbox"/> QFI <input type="checkbox"/> Promoter <input type="checkbox"/> Others (pl. specify)_____	<input type="checkbox"/> Body Corporate <input type="checkbox"/> FII <input type="checkbox"/> Clearing Member <input type="checkbox"/> QFI <input type="checkbox"/> Bank <input type="checkbox"/> HUF <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> Trust <input type="checkbox"/> Others, plz specify_____ <input type="checkbox"/> FI <input type="checkbox"/> AoP for holding the permitted Securities	<input type="checkbox"/> Repatriable <input type="checkbox"/> F.N. Depository Receipts <input type="checkbox"/> Non-Repatriable <input type="checkbox"/> Foreign National <input type="checkbox"/> Repatriable-Promoter <input type="checkbox"/> Depo. Receipts <input type="checkbox"/> Non Repatriable-Promoter <input type="checkbox"/> Others (Plz. specify)_____

**In case of NRI / Foreign Nationals / FII / Others (as may be applicable)**

RBI Approval Reference No.  RBI Approval Date  DDMMYYYY SEBI Regn. No. (for FIIs only)  SEBI Regn. Date  DDMMYYYY

**Standing Instructions**

1	I/We authorise you to receive credits automatically into my/our Demat account	<input type="checkbox"/> Yes <input type="checkbox"/> No
2	Account to be operated through Demat Debit and Pledge Instruction (DDPI) only	<input type="checkbox"/> Yes <input type="checkbox"/> No
3	SMS Alert Facility (Mandatory if you are giving DDPI). (Ensure that the mobile number is provided in the KYC Application Form also.)	
	Sole / First Holder <input type="checkbox"/> Yes <input type="checkbox"/> No	Second Holder <input type="checkbox"/> Yes <input type="checkbox"/> No
	Third Holder <input type="checkbox"/> Yes <input type="checkbox"/> No	
4	Mobile No. belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family Member	Mobile No. belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family Member
5	Email ID belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family Member	Email ID belongs to <input type="checkbox"/> Self <input type="checkbox"/> Family Member
6	Account Statement Requirement <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly <input type="checkbox"/> As per SEBI Regulations	
7	I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
8	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 ]	<input type="checkbox"/> Yes <input type="checkbox"/> No
9	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 <input type="checkbox"/> Yes <input type="checkbox"/> No	
10	Basic Services Demat A/c <input type="checkbox"/> Yes <input type="checkbox"/> No	11 I/We would like to share the email ID with the RTA <input type="checkbox"/> Yes <input type="checkbox"/> No
12	I/We would like to receive the Annual Report (Tick the applicable box. If not marked the default would be Physical) <input type="checkbox"/> Physically <input type="checkbox"/> Electronic <input type="checkbox"/> Both	

FOR DEMAT ACCOUNT ONLY



**Clearing Member Details (to be filled up by Clearing Members only) - Non-Individual DEMAT Account**

**FOR DEMAT ACCOUNT ONLY**

1	Name of Stock Exchange	2	Name of Clg. Corpn./Clg. House
3	Clearing Member ID	4	SEBI Regn. No.
5	Trade Name		
6	CM-BP ID (to be filled up by DP)	7	TM ID (to be filled up by DP)

**GUARDIAN'S DETAILS (same in line with KYC Form - must be filled up where Sole holder is MINOR)**

1	Guardian Name											
2	Guardian Address											
		City/Town/Village				PIN Code						
		State				Country						
3	Relationship with Minor				4	Guardian's PAN						
5	Contact Details of Guardian	Telephone (Office)				Telephone (Res.)						
		Fax No.				Mobile No.						
		Email ID										
6A	Gross Annual Income (Income Range per Annum (Plz tick))	<input type="checkbox"/> Below ₹ 1 Lac		<input type="checkbox"/> ₹ 1-5 Lac		<input type="checkbox"/> ₹ 5-10 Lac		<input type="checkbox"/> ₹ 10-25 Lac		<input type="checkbox"/> Above ₹ 25 Lac		
OR												
6B	Networth (should not be older than 1 year)	Amount (₹)				As on (Date)	D	D	M	M	Y	Y
7	a. Gender	b. Marital Status		c. Date of Birth			d. Nationality					
	<input type="checkbox"/> Male <input type="checkbox"/> Female	<input type="checkbox"/> Single <input type="checkbox"/> Married		D	D	M	M	Y	Y	Y	Y	<input type="checkbox"/> Indian <input type="checkbox"/> Other Pls specify (if other) _____
	e. Status <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National	f. Occupation		<input type="checkbox"/> Pvt. Sector <input type="checkbox"/> Pub. Sector <input type="checkbox"/> Govt. Service		<input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist		<input type="checkbox"/> Student <input type="checkbox"/> Housewife <input type="checkbox"/> Others, specify _____		<input type="checkbox"/> Retired <input type="checkbox"/> Forex Dealer		
8	Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP)			<input type="checkbox"/> Related to Politically Exposed Person (RPEP)							

Affix recent  
passport size  
Photograph of the  
guardian  
and  
Sign across it

**OTHER DETAILS**

**FOR BOTH**

1st Holder	1	Gross Annual Income (Income Range per Annum, Plz tick)	<input type="checkbox"/> Below ₹ 1 Lac		<input type="checkbox"/> ₹ 1-5 Lac		<input type="checkbox"/> ₹ 5-10 Lac		<input type="checkbox"/> ₹ 10-25 Lac		<input type="checkbox"/> Above ₹ 25 Lac	
	OR / AND (For Non-Individual)											
	2	Net worth (Not older than 1 year)	Amount (₹)				As on (Date)	D	D	M	M	Y
2nd Holder	2	Occupation (Pls. tick any one give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Retired		<input type="checkbox"/> Public Sector <input type="checkbox"/> Housewife		<input type="checkbox"/> Govt. Service <input type="checkbox"/> Student		<input type="checkbox"/> Business <input type="checkbox"/> Forex Dealer		<input type="checkbox"/> Professional <input type="checkbox"/> Others (plz. specify) _____	
	3	Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP)			<input type="checkbox"/> Related to politically exposed person (RPEP)						
3rd Holder	1	Gross Annual Income (Income Range per Annum, Plz tick)	<input type="checkbox"/> Below ₹ 1 Lac		<input type="checkbox"/> ₹ 1-5 Lac		<input type="checkbox"/> ₹ 5-10 Lac		<input type="checkbox"/> ₹ 10-25 Lac		<input type="checkbox"/> Above ₹ 25 Lac	
	OR / AND (For Non-Individual)											
	2	Net worth (Not older than 1 year)	Amount (₹)				As on (Date)	D	D	M	M	Y
3rd Holder	2	Occupation (Pls. tick any one give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Retired		<input type="checkbox"/> Public Sector <input type="checkbox"/> Housewife		<input type="checkbox"/> Govt. Service <input type="checkbox"/> Student		<input type="checkbox"/> Business <input type="checkbox"/> Forex Dealer		<input type="checkbox"/> Professional <input type="checkbox"/> Others (plz. specify) _____	
	3	Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP)			<input type="checkbox"/> Related to politically exposed person (RPEP)						
Any Other Information												



**BANK DETAILS (Mandatory)**

**FOR BOTH**

	Primary	Secondary, if any
Bank Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others, <small>in case of NRI, NRE/NRO (Plz specify)</small>	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others, <small>in case of NRI, NRE/NRO (Plz specify)</small>
Bank Account No.		
Bank Name		
Branch Address		
MICR Code		
IFSC Code		
UPI ID		
Proof Provided	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

**PAST ACTIONS**

Details of any actions/proceedings initiated / pending/taken by SEBI/Exchange/any other authority against the applicant/constituent or its Partners / Promoter s/Wholetime Directors / Authorised Persons in-charge of dealing in securities/ commodities during the last 3 years (In case of any details, please provide a separate sheet)

**TRADING PREFERENCE**

**FOR TRADING ACCOUNT**

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

EXCHANGE	NSE, BSE & MSEI				MCX, NCDEX, BSE & NSE
ALL SEGMENT	CASH / MUTUAL FUND	F & O	CURRENCY	DEBT	COMMODITY DERIVATIVES
					<b>DATE</b> (only in case of commodity):

**In case you do not wish to trade in any segments/ Mutual Funds, please mention here**

---

1. I/We are interested to trade into commodity options and hereby accord my/our consent to trading in commodity options.
2. I/We have gone through the additional risk disclosure document and have appraised myself/ourselves with the risk of trading in commodity options.
3. This consent is valid till I/we revoke the same. I/We understand that I/we have right to withdraw the same at any point of time.
- # If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

**DP DETAILS**

Sr.#	Particulars	Primary DP Details	Secondary DP Details
1	DP	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL
2	DP Name		
3	DP ID	Provide Proof	Provide Proof
4	Beneficiary Name		
5	BO/Client ID		

**MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)**
 Jointly
  Anyone of the Holder

\* If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s) only specified operation such as transfer of securities including Inter-Depository Transfer, Pledge/Hypothecation/Margin Pledge/Margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and/or securities and /or specific number of securities will be permitted.

**WHETHER DEALING WITH ANY OTHER STOCK BROKER / AP OF OTHER BROKERS (IN CASE DEALING WITH MULTIPLE STOCK BROKER / AP OF OTHER BROKER, PROVIDE DETAILS OF ALL)**

Stock Broker's Name			
AP's Name, if any			
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker/AP of other Brokers			

**ADDITIONAL DETAILS**

FOR BOTH DEMAT AND TRADING ACCOUNT	Whether you wish to receive physical contract notes/Documents or electronic contract notes (ECN)/Documents, please select	<input type="checkbox"/> Physical	<input type="checkbox"/> Electronic
	If Electronic, please specify your E-mail ID		
	Whether you wish to avail of the facility of Internet Trading / wireless technology, please tick	<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 authorised to deal in securities on behalf of company / firm / others : Fill in Annexure A		

**INTRODUCER DETAILS**

Introducer's Name	First Name	Middle Name	Surname
Introducer's Address			
Introducer's Status	<input type="checkbox"/> Remisier <input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Other (pls. specify)_____		
Signature			Phone No.

**CLIENT CATEGORISATION**

Please Select ( ) on the below appropriate category depending upon your proposed nature of your activity against each product type.

<b>Commercial</b> - <input type="checkbox"/>	<b>Non-Commercial</b> - <input type="checkbox"/>
Product type - <input type="checkbox"/>	Product type - <input type="checkbox"/>
Bullion - <input type="checkbox"/>	Bullion - <input type="checkbox"/>
Base Metals - <input type="checkbox"/>	Base Metals - <input type="checkbox"/>
Energy - <input type="checkbox"/>	Energy - <input type="checkbox"/>
Agri-Commodities - <input type="checkbox"/>	Agri-Commodities - <input type="checkbox"/>

1. COMMERCIAL: Commercial Client includes Value Chain / Physical market participant / exporter / importer / having direct / indirect Exposure to the underlying Commodity
2. NON-COMMERCIAL: Non Commercial Client includes Trader / Arbitrageur



## MOST IMPORTANT TERMS AND CONDITIONS (MITC)

(For non-custodial settled trading accounts)

Name	
------	--

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 payin.
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 a similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

Client Signature : \_\_\_\_\_



# NOMINATION FORM FOR DEMAT / TRADING ACCOUNTS Annexure-A

(FOR INDIVIDUAL APPLYING SINGLY OR JOINTLY)

Details of TM / DP : **ASHIKA STOCK SERVICES LIMITED**, 'TRINITY', 226/1, A.J.C. Bose Road, 7<sup>th</sup> Floor, Kolkata - 700020

Date	D	D	M	M	Y	Y	Y	Y	DP ID								Client ID						
										UCC													

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

Nominee	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 (dd-mm-yyyy)	Guardian
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								

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.*

Signature of Sole / 1st Holder \_\_\_\_\_ Signature of 2nd Holder \_\_\_\_\_ Signature of 3rd Holder \_\_\_\_\_

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 / 1st Holder (Mr./Ms.)				
2nd Holder (Mr./Ms.)				
3rd 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.

**\*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

**Notes:**

\*\* 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.

**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 SEBI/HO/OIAE/OIAE\_IAD-3/P/ON/2025/0027, dated February 28, 2025
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgment 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.

- o 'Either or Survivor' Accounts - any one of the holder can sign
- o 'First holder' Accounts - only First holder can sign
- o '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%




# Declaration Form for Opting Out of Nomination

<u>Details of TM / DP :</u>	Date	D	D	M	M	Y	Y	Y	Y
To <b>ASHIKA STOCK SERVICES LIMITED</b> 'TRINITY', 226/1, A.J.C. Bose Road 7 <sup>th</sup> Floor, Kolkata - 700020									
UCC									
DP ID									
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio/ demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account..									
Name and Signature of Holder(s)*									
Signature:	1. _____	2. _____	3. _____						
Name:	1. _____	2. _____	3. _____						
Witness					Witness				
Signature: _____					Signature: _____				
Name: _____					Name: _____				
Address: _____					Address: _____				
_____					_____				

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

## DECLARATION

1. I / We have received and read the 'Rights and Obligations' document and 'Terms & Conditions' and agree to abide by and to be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP/ASSL any change(s) in the details / particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.
2. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case of non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".  
 (Additional declaration applicable only for AoPs for opening of demat accounts in the name of Association of Persons (AoP) itself for holding the permitted Securities) :  
 I/we confirm that the AoP holds only such securities in dematerialized form as permitted by the statutes governing its constitution.  
 I/we confirm that the demat account is not be used for subscribing / holding other than the permitted securities.
3. I/We confirm having read/been explained and understood the contents of the document on 'Policy and Procedures', Voluntary Document and Tariff Sheet of the Stock Broker.
4. I/We further confirm having received, read and understood the contents of the "Rights and Obligations" and "Risk Disclosure Documents." I/We 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 along with DO's and DON'Ts has been displayed for information on stock broker's designated website.

Name	Sole Applicant / First Signatory / Guardian (in case sole holder is Minor)	Second Applicant / Signatory	Third Applicant / Signatory
Signature(s) of Holder(s) / Signatory(ies) (Plz use Black ink)			
Place		Date	

*We undertake that we have made the client aware of 'Policy and Procedures', 'Tariff Sheet' and all the 'Non-Mandatory' documents. We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. We have provided him/it a copy of all the KYC documents. 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. We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on our website, if any, for the information of the clients.*

Place \_\_\_\_\_

Date \_\_\_\_\_

**Signature of Authorised Signatory**

**Seal / Stamp of Ashika Stock Services Ltd.**



### **REFUSAL OF ORDERS FOR PENNY STOCK:**

A stock that trades at a relatively low market price with low market capitalisation, these stocks are generally considered to be highly speculative and risky because of their lack of liquidity, large bid-ask spreads, small capitalisation and limited disclosures. We do not restrict clients for trading in the penny stock (carries high risk), if the same is permissible by the exchange and our risk management and surveillance (RMS) policy. In this regard we ensure that the brokerage charged on the transaction involving penny stock shall not exceed the prescribed maximum limit as per exchange norms. We also ensure that same shall not be construed as an arrangement in any form so as to inflate, depress or cause fluctuation in the price/volume of the penny stock so as to hurt the true sentiments of the market.

### **SETTING UP OF CLIENTS EXPOSURE LIMIT:**

ASSL will normally give exposure at a predetermined multiple for the net credit balance lying in the client's ledger (across all opted segments) or on the unencumbered securities after taking into account the same to be sufficient to meet the upfront margin requirement in terms of the margin collection mechanism as specified by the Regulator and Exchanges from time to time. Exposure on securities is given after appropriate haircut as per exchange. ASSL may from time to time impose and vary limits on the orders that the client can place through its trading system (including exposure limits, turnover limits, limits as to the number, value in respect of which orders can be placed etc.). The client is aware and agrees that ASSL may need to vary or reduce the limits or impose new limits urgently on the basis of its risk perception and other factors considered relevant by it including but not limited to limits on account of exchange / SEBI directions etc.

### **APPLICABLE BROKERAGE RATE:**

The rate of brokerage varies from clients to clients. For those clients having frequency in transaction, generally the brokerage is on the lower front rather than for those who trade infrequently. The broker is entitled to charge brokerage within the limits imposed by exchange. However brokerage and other charges as agreed by the Client is indicated and duly signed by the client under brokerage slab. If there is any upward revision of brokerage, the same will be intimated with 15 days prior notice to the client. For any downward movement, the same would be done on immediate basis post intimation to Client.

### **INTEREST ON DELAYED PAYMENT:**

The client agrees that interest at the maximum rate of 24% p.a. will be charged on any amounts which are overdue from the client towards trading or on account of any other reason to ASSL.

**IMPOSITION OF PENALTY:** In case, where the broker has to pay any fine/penalty or bear any punishment from any authority in connection with/as a consequence of/in relation to any of the order/trades/deals/actions of the client, the same shall be borne in actual by the client through the issuance of debit note as per the applicable norms specified by SEBI & Exchanges.

### **THE RIGHT TO SELL CLIENT'S SECURITIES OR CLOSE CLIENTS POSITIONS, WITHOUT GIVING NOTICE TO THE CLIENT, ON ACCOUNT OF NON PAYMENT OF CLIENT'S DUES:**

As the SEBI Circular - CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated June 20, 2019 mandates liquidation of securities in Capital Market Segment in case of non-payment within 5 trading days from the pay-out wherein no pre-order confirmation is required. However, as a best practice, we will issue margin call and reminder to client for making payments within 5 trading days. The client shall ensure timely availability of funds for meeting his/her/its payin obligation. ASSL shall not be responsible for any claim/loss/damage arising out of non availability of funds by the client for meeting the pay in obligation of either funds or securities.

ASSL has the right but not the obligation, to cancel all pending orders and to close/liquidate all open positions in equity derivatives and commodities at the pre-defined square off time or when Mark to Market loss (MTM) reaches the desired % or margin available with ASSL is not sufficient to cover the risk or the client have not taken any steps either to replenish the margin or reduce the Mark to Market loss. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. In case open position (ie. short /long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs, in addition to this, the client will have to pay penalties and charges levied by the exchanges in actual and losses.





Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund/security or to meet the funds/margins pay in obligations for the orders/trades/deals of the client within the prescribed time and form, the ASSL shall have the right without any further notice or communication to the client to take any one or more of the following steps:

1. To withhold any payout of funds .
2. To withhold /disable the trading/dealing facility to the client.
3. To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which ASSL may deem fit in its absolute discretion.
4. To liquidate / square off partially or fully the position of sales & / or purchase in any one or more commodities/derivatives contracts in such manner and at such rate which ASSL may decide in its absolute discretion.
5. To take any other steps which in the given circumstances, ASSL may deem fit.

### **SHORTAGE IN OBLIGATIONS ARISING OUT OF INTERNAL NETTING OF TRADES:**

If there are shortages due to internal netting of client's position, the same would be squared off with the highest of the given prices:- (provided that the same shall not exceed the highest price prevailing in the Exchange from the first day of the relevant trading period till the day of closing out or 20% above the official closing price on the auction day whichever is higher)

1. Percentage on closing rate of auction date
  - a) Upto 100.99/- ( scrip rate ) x 7.5%
  - b) >101<500.99/- (scrip rate ) x 5%
  - c) 501/- (scrip rate ) and above x2.5%
2. Buying /selling average rate
3. Market Auction Rate

ASSL shall not be obliged to deliver any commodities or pay any money to the client unless and until the same has been received by it from the exchange, the clearing corporation/clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first. The commodities delivered short are purchase from the market and the purchase consideration (including all statutory charges and levies) along with a penalty is debited to the short delivery seller client.

### **CONDITIONS UNDER WHICH A CLIENT MAY NOT BE ALLOWED TO TAKE FURTHER POSITION:**

The same holds good when (1) ledger reflects continuous debit balance (2) inadequacy of margin (3) any other outstanding dues (4) Further position in the given scrip is prohibited by the Exchange.

The client is not entitled to trade without adequate margin / security and that it shall be his/her/its responsibility to ascertain beforehand the margin / security requirements for his/her/its orders/trades/deals and to ensure that the required margin/ security is made available in such form and manner as may be required by ASSL The client further agrees that he/she/it shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) & / or any claim / loss / damage arising out of the non-availability / shortage of margin / security required by the broker & / or exchange & /or quantum & or percentage of the margin & / or security required to be deposited / made available from time to time. The margin/security deposited by the client with ASSL is not eligible for any interest.

### **CLIENT TRADING ACCOUNT CLOSURE :**

Clients can request trading account closure online or offline without stating reasons, subject to SEBI and Stock Exchange compliance. Online closure can be done through secure web portal/app with two-factor authentication or registered email ID. Request through SMS or messaging apps are not accepted. On receipt, ASSL will send confirmation to client's registered email/mobile and block further trades immediately. Any closure request requires zero debit balance (across exchanges), no open positions, and no pending arbitrations blocking funds/securities. If issues exist, the client will be notified in writing to settle before proceeding. Valid requests will be processed within 3 working days which includes return funds, release collateral/pledged securities, and close account. ASSL will notify client of the closure, update UCC database as inactive/deleted, and stop client-level collateral reporting. The reasons for any rejection to be stated and informed to client. Maintenance of logs for internal audit purposes and adherence to all timelines as prescribed under the Exchange circular shall be ensured. Any rights or liabilities arising from prior trades shall remain binding on the parties and their successors even after closure of the account.

 \_\_\_\_\_



### CLIENT DEREGISTRATION:

Deregistration applies in cases of client inactivity, regulatory violations, unpaid dues, or mutual termination.

ASSL may deregister clients under these circumstances:

- Client request for account closure (as per prior policy).
- Prolonged inactivity (e.g., no trades for 24 months).
- Non-payment of dues, debit balances, or failure to settle obligations.
- Suspected illegal activities, market manipulation, or regulatory bans (e.g., SEBI debarment).
- Client indicted for fraud, money laundering, or securities violations.

Notify client in writing via registered email, stating reasons. Reminders will be issued in case of inactivity. Transfer funds/securities to client demat (within 7 days). Update client status as “Inactive/Deleted” in UCC database and internal systems. Inform client and exchanges, cease reporting in collateral segregation. Deregistration does not waive prior liabilities from transactions, which remain binding on parties/successors.

### INACTIVE /DORMANT ACCOUNT POLICY :

Client trading codes are classified as Inactive/Dormant in the Unique Client Code (UCC) database when there is no client-initiated activity across any exchange or segment for a continuous period of 24 months. This includes absence of trades, participation in Offer for Sale (OFS), buy-back offers, open offers, non trading transactions such as successful IPO or Mutual Fund subscriptions or depository participants ( DP ) operations or any KYC updates such as changes to email, mobile number, or address and the same has been uploaded to KRA to ensure validated /registered status.

For clients seeking reactivation after being flagged as Inactive/Dormant for 24 months or more:

- A formal reactivation application must be obtained.
- Updated KYC details are required, including fresh due diligence.
- In-Person Verification (IPV), either physical or through Video In-person Verification, must be conducted as per exchange mandates.

While reactivating the client, ASSL shall also verify the client status as per KRA. In case the client’s status as per KRA is not validated / not registered (i.e. “On hold”/”Rejected”/”Registered” through other intermediary, etc.) then ASSL shall not re-activate the client’s trading account. In this case, the client is required to provide the latest KYC details like Address, Mobile number, Email ID, Bank/DP account, income, etc. along with the necessary supporting documents as required by KRA. Post submission of required details along with documents by the client, ASSL shall validate these details with the documents provided and shall update its records accordingly. Before re-activating the client’s trading account, ASSL shall update/upload the required details/documents on KRA to ensure that the client’s status is validated/registered with KRA. ASSL shall also update such client details in the UCC records of the respective exchanges. Upon reactivation, the computation of next 24 months for the purpose of identifying client as inactive in the subsequent period shall be considered from the date of last re-activation of trading account.

- Individual Clients may submit an “online reactivation request” using the REKYC option available on the ASSL website.
- This streamlined process allows for quicker processing while ensuring regulatory compliance.

### VOLUNTARY FREEZING/BLOCKING OF ONLINE TRADING ACCOUNTS:

Clients of ASSL may voluntarily request freezing or blocking of their online trading accounts using the following secure channels during market hours :

1. **Email:** Send a request to stoptrade@ashikagroup.com from the client’s registered email ID with ASSL. Only emails from registered IDs will be processed.
2. **Phone:** Call 033-40102590 or 033-40102525 during market hours. Requests must originate from the client’s registered mobile/landline number. The agent will authenticate the client by verifying identity details and, if needed, additional information (e.g., PAN, trading code, recent transactions).

Upon successful verification:

- An acknowledgment will be issued immediately via email/SMS.





- The trading account will be frozen/blocked, and all pending orders cancelled.

### Request Timing

- During trading hours (up to 15 minutes before market close)
- After trading hours or within 15 minutes before market open

### Action Timeline

- Within 15 minutes of receipt
- Before the start of the next trading session

### Post-Freezing Communication

- ASSL will send confirmation to the client's registered mobile number and email ID.
- Details of any open positions (if applicable), including contract expiry information, will be shared via a separate email within one hour.

### Unfreezing/Re-Enabling Access : To re-enable online trading access:


- Clients must submit a formal unfreezing request following the same procedure (email or phone).
- ASSL will conduct necessary due diligence, including identity verification and risk assessment.
- Access will be restored only after satisfactory verification.
- In cases of adverse findings (e.g., compliance issues or suspicious activity), ASSL's decision to deny or delay restoration shall be final and binding, always in the client's best interest.

### HANDLING OF GOOD TILL TRIGGERED (GTT) ORDERS OF CLIENT:

Good till Triggered ('GTT') is the trigger-based order placement feature which allows a client to place buy or sell orders in stocks/ Contracts of his choice at their specified price. These orders will remain active until the trigger condition is met or the GTT request is cancelled/ expired. The maximum validity date for which the GTT trigger will be valid is 365 days, after which it will get expired. The client can set a trigger price and a limit price for a GTT request. When the last traded price (LTP) breaches the specified trigger price, limit order will be placed with the exchange at the specified quantity and limit price. The GTT request placed will be in GTT Order Book and limit order will be sent to exchange only when the trigger condition is met. A client can place Stop loss and Target order simultaneously against a stock. When either side of the order is triggered, the other side is automatically cancelled by the system.

The limit of 'maximum number of GTT orders at any point of time', can be revised by Ashika at its sole discretion after duly communicating to the clients.

1. GTT order will be automatically cancelled after 365 days from placing such order in case it is not triggered as per the Trigger Conditions.
2. In case there is change in exchange security series, market lot or any corporate action, such as; splits, bonuses, dividends of extraordinary nature (above 5% of market price), merger, reverse mergers, amalgamations, takeover, delisting, rights issue, etc. where there is significant impact/change in the stock price, the GTT order will be cancelled.
3. Ashika may also at its sole discretion decide to withdraw any particular stocks/ contracts for GTT facility without assigning any reasons whatsoever leading to cancellation of pending GTT orders.

 \_\_\_\_\_



## Tariff Sheet (For Trading in Equity & Commodity Derivatives)

### A. BROKERAGE\*

#### 1. Capital Market Segment

Square up Brokerage  
(chargeable for each leg of transaction)  
Delivery Brokerage

#### 2. Future & Options Segment

Brokerage in Futures  
Brokerage in Options (per lot)

#### 3. Currency Derivative Segment

Brokerage in Futures  
Brokerage in Options (per lot)

NSE		BSE		MSE	
%	Min. Paisa	%	Min. Paisa	%	Min. Paisa
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

	Per lot	%	Min. Paisa
<b>NSE-CO</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>NSE-CO Option</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>BSE-CO</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>BSE-CO Option</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>

	Brokerage Slab Per lot	%	Min. Paisa
<b>MCX</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>MCX Options</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>NCDEX</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>NCDEX Options</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>

\*: Please don't mention any (%) or (.) mark here. It should be in terms of absolute paisa only. #: Please don't mention any (%) or (.) mark here. It should be in terms of Rs. per lot only.

### LIST OF CHARGES ON ACTUAL BASIS

- B. STATUTORY CHARGES** 1. GST on Brokerage, 2. GST on Turnover Charges, 3. Stamp Duty, 4. SEBI Turnover Charges, 5. Investor Protection Fund, 6. Securities Transaction Charges (STT) / Commodity Transaction Charge (CTT) 7. Investor Protection Fund (CDX only)
- C. Additional charges :** Rs 100/- per PAN per KYC will be applicable as Processing Fees  
Rs 50 (+ GST) towards participation in Buy-back / IPO / De-listing / Takeover and other ancillary charges

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

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

Futures & Options in commodities will be on the Underlying Commodity or Index

\* Brokerage as levied shall not exceed the maximum as prescribed in SEBI Guidelines.

## ACKNOWLEDGEMENT TO ASHIKA STOCK SERVICES LTD. FROM CLIENT

To  
Ashika Stock Services LTD.  
Trinity, 226/1, AJC Bose Road, 7th Floor, Kolkata-700 020

I / We hereby confirm that I / We have gone through all the relevant clauses at the time of execution of KYC and has sought the relevant clarification wherever required from the officials of ASL.

Moreover please arrange to provide the following documents in  Electronic via E-mail  Physical

Sl. No.	Brief Description of the Document	
1.	Right and Obligations of Stock Brokers, Authorised Person and Clients (Equity & Commodities Derivatives)	Client Copy
2.	Rights and Obligations of Beneficiary Owner and Depository Participant as prescribed by SEBI & Depository	
3.	Internet and Wireless technology based trading facility provided by Stock Brokers to Client. (Equity & Commodities Derivatives)	
4.	Risk and Disclosure document. (Equity & Commodities Derivatives includes option trading in commodities).	
5.	Guidance note - Do's and Don't for trading on the Exchange(s) for Investors. (Equity & Commodities Derivatives)	
6.	Executed Copy of KYC	

For \_\_\_\_\_ Client Code : \_\_\_\_\_  
(should be signed with Rubber Stamp, if applicable)

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Note: The standard documents (Client Copy) are also available in vernacular language on our Website: [www.ashikagroup.com](http://www.ashikagroup.com) and can be downloaded at any point of time for reference.



## Charges for Depository Services (Schedule 'A')

Schedule of charges forms an integral part of the DP - Client Agreement

Sr. #	Depositories	CDSL & NSDL		
		BSDA Charges		<input type="checkbox"/> Scheme A
1	Equity / Mutual Fund Segment	For holding value <=4L	For holding value >4L & <10L	
1	Account Opening / Closing	NIL		
2	Annual Maintenance	NIL	₹ 100/- P.A.	₹ 200/- P.A.
3	Debit from Account (Payin with Ashika)	₹ 25/-	₹ 25/-	₹ 25/-
4	Off Market / Inter Depository Charges	₹ 25/-	₹ 25/-	₹ 30/-
5	Dematerialisation	₹ 100/- per certificate + ₹ 50/- as courier charges		
6	Dematerialisation Rejection	₹ 50/- per rejection		
7	Rematerialisation	₹ 100/- per certificate or a fee of ₹ 15/- for every 100 securities or part thereof whichever is higher + ₹ 50/- Courier charges		
8	Rematerialisation Rejection	₹ 50/- per rejection		
9	Pledge Charges per Transaction	Pledge	Un-pledge/Pledge Closure Confirmation	Invocation
	Normal Pledge	0.02% of the Value (Min. ₹ 50/- per Transaction)		
	NDU Pledge	0.02% of the Value (Min. ₹ 50/- per Transaction)	NIL	NIL
	Margin Pledge	₹ 15	₹ 15	₹ 15
	CUSPA Pledge	₹ 29	NIL	₹ 29
	MTF Margin Pledge	₹ 20	₹ 20	₹ 20
10	Freeze / De-freeze	₹ 50/-		
11	KYC/Demat details Modification	₹ 100/- Each Request		
12	CMR (Client Master Report)	<ul style="list-style-type: none"> <li>• ₹ 100 + ₹ 50 as Courier charges</li> <li>• ₹ 100 + ₹ 500 as Courier charges (for NRI clients)</li> </ul>		
13	Restat & Destat: SOA / Redemption Charges	₹ 100 per ISIN		
14	Holding or Transaction Statement Charges for other than BSDA Accounts	₹ 100/- Each Physical Request		
15	Holding or Transaction Statement Charges for BSDA Accounts	₹ 25/- per statement		
16	DIS Book Charges (5 Slips)	₹ 50/- per Book. First Book Free		

FOR DEMAT ACCOUNT

### NOTES

- All the new Individual Demat Accounts, will be mandatorily opened under BSDA Scheme subject to Depository approval, otherwise default Scheme will be as "Scheme A".
- To opt out the BSDA Scheme or to change the DP Scheme please send an email consent from your registered email only at dpservices@ashikagroup.com.
- Cheque/Demand Draft should be in favor of "Ashika Stock Services Limited"
- Ashika Stock Services Limited reserves the right to change the above tariff meant exclusively for DP by providing 30 days written notice and this will be binding on all.
- Clients must ensure that their name, Client/BO ID and Bill number is written behind every cheque/Demand Draft deposited by them.
- Tax as applicable would be levied on the above charges.
- In case of any debit balance in Client's name existing with the Company, DP is authorised to refuse to accept any type of instruction relating to transfer of shares/securities from client's account, till the clearance of such dues.
- 50/- + bank charges will be levied for any cheque dishonor, per instance.
- AMC Charges will be applicable on quarterly basis.
- Extra account maintenance charges for Corporate Account ₹ 500/- p.a. with scheme applied.
- The Client agrees to pay the charges as set out herein above subject to any change therein from time to time and specifically authorises DP to debit all type of dues/charges as set out herein above to client's Trading Account Code having with Ashika in NSE and/or BSE Segment.
- Consolidated Account Statement Charges as levied by respective Depository will be levied as and when applicable.
- In case of late payment of DP Bill, Client shall be liable to pay interest @ 13% per annum.
- Settlement Fee charged by NSDL Rs. 4/- per ISIN.
- I/We authorise Ashika Stock Services Limited as a DP to convert my/our Demat account to BSDA scheme as and when the same becomes applicable as per SEBI/Regulatory Guidelines. Yes  No

Signature of Sole / 1st Holder

Signature of 2nd Holder

Signature of 3rd Holder



# CLIENT COMMODITY-WISE CATEGORIZATION (Mandatory only for Commodity Clients)

To

**Ashika Stock Services Limited**

'TRINITY', 226/1, A.J.C. Bose Road, 7th Floor, Kolkata - 700020

I/We do hereby declare that my/our Commodity-wise categorisation as a participant is as follows:

Sr. No.	Symbol Description	*Farmer / EPOS	*Value Chain Participants (VCPs)	*Proprietary Trades	*Domestic Financial Institutional Investors	*Foreign Participants	*Others
1	AGRIDEX						
2	ALMOND						
3	ALUMINIUM						
4	BAJRA						
5	BARLEY						
6	BRASS						
7	CARDAMOM						
8	CASTOR SEED						
9	CHANA						
10	COPPER						
11	CORIANDER/DHANIYA						
12	COTTON						
13	COTTONSEEDOILCAKEAKOLA						
14	CPO - CRUDE PALM OIL						
15	CRUDE OIL						
16	GOLD						
17	GUARGUM						
18	GUARSEED						
19	GUAREX						
20	GUMSYOIL						
21	GUR						
22	HIPROSOYBEANMEAL						
23	JEERA						
24	KAPAS						
25	LEAD						
26	MAIZE						
27	MCXBULLDEX						
28	MCXMETLDEX						
29	MENTHA OIL						
30	MOONG						
31	NATURAL GAS						
32	NICKEL						
33	PADDY BASMATI						
34	PEPPER						
35	RAPE MUSTARD SEEDS						
36	RBDPMOLEIN						
37	RUBBER						
38	SESAMESEED						
39	SILVER						
40	SOY OIL						
41	SOYABEAN						
42	SOYDEX						
43	STEEL						
44	SUFIBLT						
45	SUGARM						
46	TURMERIC						
47	WHEATKOTA						
48	ZINC						
49	ENERGY INDEX FUTURES						

I/We also give any consent to upload the information to the respective commodity exchanges.

**(1) Farmers/FPOs:** It includes participants such as farmers, farmers' cooperatives, Farmers Producers Organisations (FPOs) and such entities of like nature. **(2) Value chain participants (VCPs):** It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Producers, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs. **(3) Proprietary traders:** It includes the members of stock exchanges trading in their proprietary account. **(4) Domestic financial institutional investors:** It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives. **(5) Foreign participants:** It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets. **(6) Others:** All other participants which cannot be classified in the above categories.





## Demat Debit and Pledge Instruction (DDPI) Authorization

Date:

To,

Ashika Stock Services Limited  
TRINITY, 7TH FLOOR,  
226/1 AJC BOSE ROAD, KOLKATA - 700 020

Dear Sir/Madam,

**Sub: Demat Debit and Pledge Instruction (DDPI) Authorisation**

I/We, (UCC \_\_\_\_\_) hereby explicitly agree, authorize and give consent to authorize Ashika Stock Services Limited (ASSL), to access Beneficial Owner (BO) Account \_\_\_\_\_ as per following purposes:

S. No.	Purpose	Signature of Client *
1.	Transfer of securities held in the beneficial owner accounts of mine / us (clients) towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me / us (clients) on the Stock Exchange through Ashika Stock Services Limited.	1st Holder  _____ 2nd Holder _____ 3rd Holder _____
2.	Pledging / re-pledging of securities in favour of Ashika Stock Services Limited / Clearing Member (CM) / Clearing Corporations (CC) for the purpose of meeting margin requirements of the clients in connection with the trades executed by me/us (the clients) on the Stock Exchange.	1st Holder  _____ 2nd Holder _____ 3rd Holder _____
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms.	1st Holder  _____ 2nd Holder _____ 3rd Holder _____
4.	Tendering shares in open offers through Stock Exchange platforms.	1st Holder  _____ 2nd Holder _____ 3rd Holder _____



I/we am/are entitled to revoke this authorisation at any time, after sending the revocation letter at your office. Such revocation shall not affect my/our obligations outstanding at the time of such revocation and the authority granted hereunder shall continue until all transactions and instructions already executed or issued have been settled.


Schedule I provides the details of demat account of ASSL/Clearing Members/Clearing Corporations/Exchanges, where client shares / commodities can be transferred / Pledged / Repledged.

\*The same may be e-signed or signed physically. DDPI document shall be valid from the date as specified by Regulator

**SCHEDULE - I**

Depository Participants Name	Demat Account No.	Exchange	Name/Type
Ashika Stock Services Limited	IN564705	NSE	CM BP ID/Pool
Ashika Stock Services Limited	12034500-00948267	NSE	NSE Pool Account
Ashika Stock Services Limited	12034500 - 00004011	BSE	BSE Pool Account
Ashika Stock Services Limited	IN655195	BSE	CM BP ID/Pool
Ashika Stock Services Limited	IN303591 - 10068478	NSE	CM/TM - Margin (CMPA)
Ashika Stock Services Limited	12034500 - 00852711	NSE	CM/TM - Margin (CMPA)
Ashika Stock Services Limited	IN565576	NSCCL	MF - NSE Pay-in
Ashika Stock Services Limited	IN620031	ICCL	MF - BSE Pay-in
Ashika Stock Services Limited	12034500 - 00948043	NSE / BSE	CUSPA
Ashika Stock Services Limited	IN303591 - 10094219	NSE / BSE	CUSPA

*Signed and delivered for and on behalf of the Client,*

 _____ First Holder	_____ Second Holder	_____ Third Holder
--	------------------------	-----------------------

In case of HUF all adult Co-Parceners should sign

Name	Signature of Co-parcener
1. _____	1. _____
2. _____	2. _____
3. _____	3. _____

For **Ashika Stock Services Ltd.**

\_\_\_\_\_  
 (Director / Authorised Signatory)



## Declaration for Basic Services Demat Account (BSDA)

To,  
Ashika Stock Services Limited  
DP ID :

Date:

With reference to my / our application for opening a depository account, I/ We request you to open my / our depository account as per the following details:

	Name	PAN									
Sole/First Holder											
Second Holder											
Third Holder											

I/We have read and understood the Securities and Exchange Board of India's guidelines for facility for a BSDA.

I/We are aware that if I/we are eligible to open a depository account as a BSDA, the account shall be opened as a BSDA.

I/We also understand that in case, I/We at any point of time do not meet the eligibility criteria as a BSDA holder, my / our demat account is liable to be converted to regular account.

I/We also state that if at any time choose to opt out of BSDA i.e. avail the facility of regular account the same will be communicated to the Participant from Sole / First Holder registered email ID.

 Signature of Sole / 1st Holder	 Signature of 2nd Holder	 Signature of 3rd Holder
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### BSDA Opt-Out Consent:

I/We hereby voluntarily provide our explicit consent to Opt-Out of the Basic Services Demat Account (BSDA) facility. I/We confirm that we have duly understood the features, eligibility criteria, and benefits associated with BSDA and have chosen to discontinue / not avail the facility of our own accord

I/We reserve the right to revoke the BSDA Opt-Out consent at any time by submitting a written request through a physical letter, by sending an intimation via the registered email address, or through such online mode as may be prescribed and made available, in accordance with applicable regulatory requirements.

 Signature of Sole / 1st Holder	 Signature of 2nd Holder	 Signature of 3rd Holder
Date :	Date :	Date :



## OPTION FORM FOR ISSUE OF DIS BOOKLET

To,

**Ashika Stock Services Limited**

'TRINITY', 226/1, A.J.C. Bose Road, 7<sup>th</sup> Floor, Kolkata - 700020

Dear Sir / Madam,

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

**OPTION 1:**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL/NSDL 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 settling stock exchange trades [settlement related transactions] effected through such Power of Attorney holder - Clearing Member / by PMS manager / for executing delivery instructions through eDIS. **OR**

**OPTION 2:**

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 settling 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			
Signatures			

For CDSL	<b>SMS Alert Facility</b> (Refer to Terms & Conditions given as Annexure 2.4)	<b>Mobile No.</b> <sup>+91</sup> _____ [[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.)										
	Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure - 2.6	I wish to avail the TRUST facility using Mobile number registered for SMS Alert Facility. I have read and understand the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST										
		<table border="1"> <thead> <tr> <th>Stock Exchange Name / ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)							
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)										
	<b>Easi</b>	To register for easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.										
For NSDL	<b>SPEED-e</b>	For SPEED-e registration, please visit at <a href="https://eservices.nsd.com">https://eservices.nsd.com</a> .										

FOR DEMAT ACCOUNT



	<b>First / Sole Holder</b>	<b>Second Holder (if any)</b>	<b>Third Holder (if any)</b>
Country of birth in any 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
Residence for Tax purposes in jurisdiction(s) outside 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
Citizenship of any 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
Address or Telephone number outside 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
<b>Note:</b> If your answer to any of the above questions is 'YES', please fill the declaration of FATCA / CRS given below.			

- I) If your answer to any of the above question is 'YES' OR In case of NRI Account, Please fill FATCA / CRS DECLARATION given below.
- II) If your answer to all the above question is 'NO', then strike off the FATCA / CRS DECLARATION.
- III) In any of the above scenario, customer is required to affix their signature at the end of the FATCA / CRS DECLARATION.

Subject to applicable laws, I/We hereby give consent to share my information with domestic / overseas regulators or tax authorities wherever necessary. I/We hereby declare and confirm that the details given above are true and correct. Further I/We would like to state that in future if there is any change in my/our tax status (i.e. if I/We become tax resident of any other country other than India) then the same will be informed to ASSL and FATCA / CRS Declaration will be submitted to you immediately.

**FATCA / CRS Declaration**

<b>Please fill the information below as requested</b>	<b>First Account Holder</b>	<b>Second Account Holder</b>	<b>Third Account Holder</b>
Name of the Account Holder			
Customer ID			
City of Birth			
Country of Birth			
Address for Tax purpose	<input type="checkbox"/> Same as mailing address <input type="checkbox"/> Same as permanent address	<input type="checkbox"/> Same as mailing address <input type="checkbox"/> Same as permanent address	<input type="checkbox"/> Same as mailing address <input type="checkbox"/> Same as permanent address
Address Type for the above	<input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office
Nationality			
Father's Name (mandatory if PAN not provided)			
Spouse's Name			
Identification Type-Documents submitted as proof of identity of the individual	<input type="checkbox"/> Passport <input type="checkbox"/> PAN <input type="checkbox"/> Election/Voter's ID card <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar card/ letter <input type="checkbox"/> NREGA Card Govt ID Card <input type="checkbox"/> Others (pls specify)_____	<input type="checkbox"/> Passport <input type="checkbox"/> PAN <input type="checkbox"/> Election/Voter's ID card <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar card/ letter <input type="checkbox"/> NREGA Card Govt ID Card <input type="checkbox"/> Others (pls specify)_____	<input type="checkbox"/> Passport <input type="checkbox"/> PAN <input type="checkbox"/> Election/Voter's ID card <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar card/ letter <input type="checkbox"/> NREGA Card Govt ID Card <input type="checkbox"/> Others (pls specify)_____
Identification Number- for the identification type mentioned above			

Are you a tax resident of any country other than India?

- First account holder :  Yes  No
- Second account holder :  Yes  No
- Third account holder :  Yes  No

If yes, please list below the details confirming ALL countries of Tax Residency / Permanent Residency / Citizenship & ALL Tax Identification Numbers.

Account Holder details	Name of Customer	Country/(ies) of Tax residency #	Tax Identification Number (TIN)%	Identification Type (TIN or other %, please specify)	Address for Tax Residence	Address type (Residential or Business, Residential, Business, Registered Office)
First Holder						
Second Holder						
Third Holder						

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

% In case Tax Identification Number is not available, Kindly provide functional equivalent\$

Certification: I/We have understood the information requirements of this Form as per the CBDT notified Rules 114F to 114H 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 Terms and Conditions below and Hereby accept the same. I/We understand that my personal details as provided / available in the bank records will be used for CBDT reporting.

	1st Holder	2nd Holder	3rd Holder
Signature			

**CBDT Terms and Conditions :** The Central Board of Direct Taxes(CBDT) has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

**CBDT Instructions :** If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form. In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA/ CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
	If customer does not agree to be specified U.S. person/ reportable person status
1 U.S. place of birth	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purpose; 2. Non-US passport or any non-US government issued document evidence nationality or citizenship( refer list below); AND 3. Any one of the following documents: a. Certified Copy of " Certificate of Loss of Nationality or b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
2 Residence/ mailing address in a country other than India	1. Self-certification(in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purpose; and 2. Documentary evidence (refer list below)
3 Telephone number in a country other than India (and no telephone number in India provided)	1. Self-certification(in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purpose; and 2. Documentary evidence (refer list below)
4 Telephone number in a country other than India	If no Indian telephone number is provided 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and 2. Documentary evidence (refer list below)

**List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:**

1. Certificate of residence issued by an authorized government body\*
2. Valid identification issued by an authorized government body\* (e.g. Passport, National identity card, etc.)

\*Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.



Applicant Name \_\_\_\_\_

**PART I**

A. Is the account holder a Government body/International Organization/listed company on recognized stock exchange:  Yes  No

If "No", then proceed to point B. If "yes" please specify name of stock exchange, if you are listed company \_\_\_\_\_ and proceed to sign the declaration.

B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India :  Yes  No  
If "yes", then please fill of FATCA/ CRS Self certification Form. If "No", proceed to point C.

C. Is the account holder an Indian Financial Institution :  Yes  No  
If "yes", please provide your GIIN, if any \_\_\_\_\_. If "No", proceed to point D.

D. Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen :  Yes  No  
If "yes", (then please fill FATCA/ CRS self-certification form)). If "No", proceed to sign the declaration.

**CUSTOMER DECLARATION**

( ) Under penalty of perjury, I/we certify that :

1. The applicant is:

- (i) An applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District to Columbia or any other states of the U.S.,
- (ii) An estate the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person)

2. The applicant is an applicant taxable as a tax resident under the laws of country outside India.

- (i) I/We understand that Ashika Stock Services Ltd. is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. ASSL is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (ii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- (iii) I/We agree that as may be required by domestic regulators/tax authorities ASSL may also be required to report, reportable details to CBDT or close or suspend my account.
- (iv) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Name of the Entity \_\_\_\_\_

Signature 1 \_\_\_\_\_ Signature 2 \_\_\_\_\_

Signature 3 \_\_\_\_\_ ( As per MOP)

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

Signature  \_\_\_\_\_



PART II

Self-Certification Form (Entity) for Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standards(CRS)

Section 1 : Entity information

Name of Entity \_\_\_\_\_

Customer id (if existing) \_\_\_\_\_ Entity Constitution Type \_\_\_\_\_

Entity Identification type : Tax Identification Number (TIN) US GIIN Company Identification Number
Global Entity Identification Number (EIN) Other

Entity Identification No. \_\_\_\_\_

Entity Identification issuing country \_\_\_\_\_ Country of Residence for tax purpose \_\_\_\_\_

Section 2 : Classification of Non-Financial entities

I/We (on behalf of the entity) certify that the entity is:

- a) An entity incorporated and taxable in US (Specified US person) : Yes No
If "Yes", please provide your U.S. Taxpayer Identification Number (TIN) \_\_\_\_\_
b) An entity incorporated and taxable outside of India (other than US) : Yes No
If "Yes", please provide your TIN or its functional equivalent \_\_\_\_\_
Provide your TIN issuing country \_\_\_\_\_
c) Please provide the following additional details if you are not a Specified US Person :

FATCA / CRS classification for Non-financial entities (NFFE)

- [ ] Active NFFE [ ] Passive NFFE without any controlling Person
[ ] Passive NFFE with Controlling Person(s) : [ ] US [ ] Others
[ ] Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus Ashika Stock Services Ltd. is not required to do the reporting)
Please provide GIIN number : \_\_\_\_\_

Section 3 : Classification of financial institutions (including Banks)

I/We (on behalf of the entity) certify that the entity is :

- a. An entity is a U.S. financial institution : Yes No
If "Yes", (i) Please provide your Taxpayer Identification Number (TIN)
(ii) Please provide GIIN, if any \_\_\_\_\_

If "No", please tick one of the following boxes below :

FATCA classification

Please provide the Global Intermediary Identification number (GIIN) or other information where

- [ ] Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement ("IGA") Jurisdiction \_\_\_\_\_
[ ] Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction \_\_\_\_\_
[ ] Participating FFI in a Non-IGA Jurisdiction \_\_\_\_\_
[ ] Non-reporting FI \_\_\_\_\_
[ ] Non-Participating FI \_\_\_\_\_
[ ] Owner-Documented FI with specified US owners \_\_\_\_\_

Signature \_\_\_\_\_



Section 4 : Controlling person declaration

If you are classified as "Passive NFFE with Controlling Person(s)" or "Owner documented FFI" or "Specified US person", please provide the following details:

Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing country	Controlling person type

Details	Controlling person 1	Controlling person 2	Controlling person 3	Controlling person 4	Controlling person 5
Identification Type					
Identification Number					
Occupation Type					
Occupation					
Birth Date					
Nationality					
Country of Birth					

Section 5 : Declaration

- (i) Under penalty of perjury, I/we certify that :
  1. The number shown on this form is the correct taxpayer identification number of the applicant, and
  2. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof, or
  3. The applicant is an applicant taxable as a tax resident under the laws of country outside India.
- (ii) I/We understand that Ashika Stock Services Ltd. is relying on this information for the purpose of determining the status of applicant named above in compliance with CRS/FATCA. Ashika Stock Services Ltd. is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (iii) I/We agree to submit a new form within 30 days if any information or certification on this form gets changed.
- (iv) I/ We agree as may be required by Regulatory authorities, Ashika Stock Services Ltd. shall be required to report, reportable details to CDBT or close or suspend my account.
- (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.

**I/We hereby confirm that details provided are accurate, correct and complete**

Authorized Signatories and Company Seal (if applicable)

Name \_\_\_\_\_ Date (DD/MM/YYYY) \_\_\_\_\_

**Declaration Form of Ultimate Beneficial Ownership [UBO] / Controlling Persons** **NON-MANDATORY**  
 (Mandatory for Non-individual Investors)  
 (To be provided on Letter Head)

**I. Investor Details:**

Name of the Client	
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**II. Category:**

<input type="checkbox"/> Our company is a Listed Company listed / Subsidiary or Controlled by a Listed Company <i>[If this category is selected, no need to provide UBO details]</i>		
<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Partnership Firm / LLP	<input type="checkbox"/> Unincorporated Association / Body of Individuals
<input type="checkbox"/> Public Charitable Trust	<input type="checkbox"/> Private Trust	<input type="checkbox"/> Religious Trust
<input type="checkbox"/> Trust created by a Will	<input type="checkbox"/> HUF	<input type="checkbox"/> Others [please specify] _____

**UBO / Controlling Person(s) details**

Sl. No.	Name of UBO	Country of Tax Residency	Taxpayer Identification Number / PAN / Equivalent ID Number	% of beneficial interest	Address, Address Type & Contact details (include City, Pincode, State, Country)	Gender (Male, Female)	PEP	Nationality	Occupation [Service, Business, Others]

**Declaration**

We acknowledge and confirm that the information provided above is true and correct to the best of our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, we are aware that we may liable for it. We hereby authorize Ashika Stock Services Ltd. [ASSL] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by us, including all changes, updates to such information as and when provided by us to any of the relevant Authorities or any Indian or foreign governmental or statutory or judicial authorities / agencies without any obligation of advising us of the same. Further, we authorize to share the given information to other SEBI Registered Intermediaries and/or any other regulated intermediaries registered with SEBI / RBI / IRDA to facilitate single submission / update & for other relevant purposes. We also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end.

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

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

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

**INSTRUCTIONS ON CONTROLLING PERSONS / ULTIMATE BENEFICIAL OWNER**

As per SEBI circular No. CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of controlling persons [CP] / ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs/ UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

**A. For Investors other than individuals or trusts:**

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
  - more than 10% of shares or capital or profits of the juridical person, where the juridical person is a company;
  - more than 10% of the capital or profits of the juridical person, where the juridical person is a partnership;
  - more than 10% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

**B. For Investors which is a trust:**

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

**C. Exemption in case of listed companies / foreign investors**

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client.



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

To,  
Ashika Stock Services Ltd.  
Kolkata**Subject : Common Mobile / Email ID For Trading and DEMAT account**

Dear Sir,

I, Mr/Mrs \_\_\_\_\_ having trading code as \_\_\_\_\_ and Demat account number as \_\_\_\_\_ would like to confirm that the Mobile number \_\_\_\_\_ and Email ID \_\_\_\_\_ is registered in my/our name. I am your registered client .

Upon understanding from you that my mobile number/email id is registered with some of the clients who have trading and/or demat accounts with you, I have to state that this is in my full knowledge and I have consented to the below clients who 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 us of all the SMS/Email belonging to them which are sent by you to us on our above mobile number/email id.

All these below clients also do not have any objection to the same.

Sr.No.	Client Name	PAN No.	Trading Code	Demat A/c.	Relation
1.					
2.					
3.					
4.					

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

Thanking You.

Declarant's Name: \_\_\_\_\_

Declarant's Signature: \_\_\_\_\_

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

Client Signature : \_\_\_\_\_

<p><b>*Note :</b> The close relatives ONLY to be included are – Spouse, Dependent Children and Dependent Parents</p>
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**DEPOSIT OF SECURITIES/FUNDS TOWARDS MARGIN**To  
**Ashika Stock Services Limited**  
Trinity, 226/1, A. J. C. Bose Road, 7<sup>th</sup> Floor, Kolkata- 700020

Date :

Dear Sir,

I/We understand that the Member accepts deposit of funds and Securities/Commodities (by way of pledge) towards "Margin" for the purpose of allowing additional exposure/turnover and this document has been signed by me/us voluntarily without any coercion or force.

In respect of the above margins, I/We also undertake and agree to the following:

1. I /We shall pay initial margin as specified by Exchanges before placing any order. Ashika Stock Services Ltd. (ASSL) will have all the rights not to execute the order if I/We fail to place the required initial margin with them.
2. That the above margins are subject to the first and paramount lien for any sum due to ASSL by me/us for the due fulfillment of my/our engagements, obligations and liabilities arising out of or relating or incidental to any bargains, dealings, transactions and contract made through or with you.
3. That ASSL has a clear and undisputed right to dispose of the margin in terms of securities/commodities (by way of revocation of pledge) and adjust the proceeds or the cash margin provided towards overdue balances in my/our account, at my risk and cost, without any need for clearance or reference to me/us whatsoever after giving reasonable opportunity.
4. I/We shall when called upon to do so, provide additional margin money to ASSL as required by them or Stock Exchange in respect of positions taken by me/us.
5. The margin as desired shall be in equal proportion of that of securities & funds . ASSL shall have the final authority to execute trades in case of non maintenance of the prescribed proportion.

Your Sincerely,

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




I/We have executed KYC with you for dealing in Cash, F&O, Commodity and Currency Segment of National Stock Exchange of India Limited (NSE), BSE Limited (BSE), Metropolitan Stock Exchange (MSE), National Commodity & Derivatives Exchange Ltd. (NCDEX) and Multi Commodity Exchange of India Ltd. (MCX) as applicable (hereinafter referred as Exchanges).

I / We hereby declare the following:

1. I / We will not carry out any unfair trade practices such as Synchronized deals, Structured deals, Circular Trading.
2. I / We will not place any order on the exchanges, which will reflect as an arrangement for profit or loss transactions. All the orders placed on the exchange will be in the normal market where there are corresponding underlying Shares/Securities/Commodities positions in the Cash, F&O, Commodity Derivatives (Futures & Options) and CDX as applicable segment of the respective Exchange.
3. I / We will not introduce any kind of money acquired illegally in the financial system.
4. I / We will submit the necessary documents / information required under the PMLA and/ or any other statute.
5. I/ We will not indulge in any act which creates false or misleading appearance of trading in the Shares/ Securities/Currency Derivatives/Commodity Derivatives/Futures & Options market;
6. I/ We shall not deal in a security not intended to effect transfer of beneficial ownership but intended to operate only as a device to inflate, depress or cause fluctuations in the price of such security for wrongful gain or avoidance of loss.
7. I/ We will not advance or agree to advance any money to any person thereby inducing any other person to offer to buy any security.
8. I/ We will not pay, offer or agree to pay or offer, directly or indirectly, to any person any money or money's worth for inducing such person for dealing in any security with the object of inflating, depressing, maintaining or causing fluctuation in the price of such security;
9. I/We will not act in such a manner resulting manipulation of the price of a security;
10. I / We will not sell, deal or pledge any of the stolen or counterfeit security in dematerialized form;
11. I/ We will inform the management of Ashika Stock Services Ltd. (ASSL) of any encouragement by a dealer to trade in Shares/Securities/Contracts/Commodities solely with the object of enhancing brokerage or commission;
12. I/ We will not plant any false or misleading news which may induce sale or purchase of Shares/Securities/ Contracts/ Commodity Derivatives (Futures & Options) .
13. I/We agree to abide by client level position limit and authorize you not to increase my/our open position beyond the stipulated limit, and if inadvertently exceeded, to actually reduce and bring it within acceptable limits. I/We further authorize you to debit my/our ledger for any penalty imposed on you for my/our violation towards position limit.
14. I/We also hereby authorize ASSL with whom both the beneficiary demat account and trading account is operated, to debit the trading account for any charges payable to ASSL as Depository Participant for providing Depository Services. Any such amount debited to my/our account shall be binding on me/us.
15. I/We hereby authorise ASSL to meet the Pay-in / Pay-out obligations arising at Exchanges (as applicable) without transferring the same to my/our Demat Account as and when such inter exchange obligations arise in the Security(ies)/ Contract(s) traded by me/us across Exchanges.
16. I/We undertake that if any claim or dispute arises between us in respect of any transactions, contracts, etc. entered into on my/our account, I/We shall refer it to Arbitration as per the Rules, Bye-Laws and Regulations and conventions of the SEBI and/or exchange(s) which are applicable to me/us.
17. I/We undertake that I/we shall not hold ASSL, its Directors or Officers liable towards my/our acceptance of any lucrative offer of fixed return on investment without the knowledge of the Company and the onus to bring the same to the notice of the Company lies with me/us.
18. It shall be my/our responsibility to check the data provided through SMS Alert Service with the actual Contract Notes/Financial Ledgers given by ASSL. I/We agree to inform you of any changes in the mobile number on which the updates are required.

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

19. I/We do hereby confirm that levy of Rs 20/- on the physical issuance of the contract note (in addition to ECN) as an extra service is duly acceptable.
20. I/We do hereby confirm that I/we shall not deposit any third party cheque towards meeting my/our obligation for the trades executed by me/us and hence shall not hold ASSL against any such credit.
21. Excess Margins deposited towards one exchange may be adjusted, on a running basis, towards margin requirement/ debit balance in same / other Exchange where I/We have the client account.
22. ASSL can/may pass on me/us any penalty on margin shortfall / loss suffered together as per Exchange guidelines (except MTF) with incidental expenses due to my/ our violating any of the requirements/stipulations of Exchanges or any other regulatory authority including but not limited to my/our disturbing fair price determination in the market or resorting to unfair trade practices.
23. ASSL and its directors, officers, employees, and agents shall not be responsible or liable for any loss suffered or which may be suffered by me/ us, arising from any delay or failure in the transmission, receipt, execution or confirmation of orders due to any breakdown, interruption or failure of transmission of the Internet, computer network, software, hardware, other computer devices, Internet system and any problem arising from my/our side.
24. ASSL and/or its agents will not be liable for losses caused directly or indirectly by government restriction, Exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, strikes or any other conditions beyond its control.
25. ASSL may restrict my/our trading as per their risk management and/or due diligence policies or any other reason inspite of my/our having paid full margin. I/We will comply to their requirements which may include submission of updated documents, undertaking, financial etc.
26. I/We shall not hold ASSL or any of its employee/official/agent/affiliate responsible or liable for any information, recommendation or advice with respect to any investment/trading decision or transaction, and if so acted upon by me/us, the same shall be at my/our sole risk and cost.

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

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### **DECLARATION ON OPEN INTEREST POSITION**

*(Mandatory if client wants to trade in MCX / NCDEX & opt for IBT)*

To,  
**Ashika Stock Services Limited**  
Trinity, 226/1, A J C Bose Road, Kolkata-700 020

Dear Sir,

***Subject : My/Our request for trading in commodity contracts/commodity derivatives on MCX / NCDEX of your client***

I/We, the undersigned, have taken cognizance of Circular issued by SEBI or MCX/NCDEX from time to time and on the guidelines provided by the respective exchange for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by respective exchanges or Securities and Exchange Board of India and such position limits will be calculated in accordance with the circulars of MCX/NCDEX as modified from time to time.

I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/ Trusts in which I or any of above such person is a partner/director/karta/ trustee, takes or holds any position in any commodity forward contract/commodity derivative on respective exchanges through you or through any other member(s) of respective exchanges, to enable you to restrict our position limit as prescribed by the above referred circulars of respective exchanges as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity contracts/commodity derivatives for me/us as your clients on respective exchanges only on the basis of our above assurances and undertaking.

Yours faithfully,

For \_\_\_\_\_

Signature  \_\_\_\_\_

(In case of Non-Individual client, the same to be signed by the Authorised signatory with Company Seal)

**Note :-** Futures & Options in commodities will be on the underlying commodity or Index



## AUTHORITY LETTER FOR RUNNING ACCOUNT

**NON-MANDATORY**

To  
**Ashika Stock Services Ltd. (ASSL)**  
Trinity, 226/1, A.J.C. Bose Road,  
7th Floor, Kolkata-700 020

Date :

Dear Sir,

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain funds receivable by me/us until specifically requested by me/us to be settled.
2. I/We understand and agree that no interest will be payable to me/us on the amounts so retained with you.
3. I/We authorize you to set off a part or whole of the margin deposited by me/us against any of my / our dues, by appropriating relevant amount of fund which form part of margin.
4. I/We may revoke the authorization at any time by issuing a physical letter for the effect.
5. I/We also agree that the actual settlement of fund shall be done, at least once in a  
*Tick your preference (Default is Quarterly Settlement)*

90 days <input type="checkbox"/>	30 days <input type="checkbox"/>
----------------------------------	----------------------------------

6. There shall be no inter-client adjustment for the purpose of settlement of the 'running account'.
7. You may retain the requisite funds towards settlements as per the applicable norms as prescribed by SEBI as and when updated.
8. I / We shall bring any dispute on the "Statement of Running Account" to your notice within 30 working days from the date of receipt of the same.

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

**DO's and DON'Ts****Do's and Don'ts which are relevant for operation of  
Trading / Demat account with Ashika Stock Services Ltd.:****DO's**

- Issue cheque(s) towards margin / pay-in obligation of funds only in the name of "Ashika Stock Services Ltd.".
- Transfer securities against Pay-in obligations only in designated Demat Accounts of Ashika Stock Services Ltd.
- Any receivables from ASSL on account Pay-out shall be from Bank / Demat Account from ASSL only and not from Authorised Person /Advisor.
- Ensure that no separate fees, charges, commissions or any consideration is paid to Authorised Person / Advisor; other than what is payable to ASSL.
- Make payments of bills/ dues in time to avoid delayed payment burden or Risk Management actions.
- Check ledger, derivative position, demat statement and your account details at regular intervals.
- Ensure that all your trades and Investments are executed under your instructions. Ensure that the digital contracts notes sent to your email are in concurrence with the said orders.
- Any change / modifications in your contact details should be immediately updated with ASSL.
- Ensure to read all the tariff / brokerage applicable to you, before placing your orders with ASSL.

**DON'TS**

- Do not give any discretionary rights to your Advisor / Relationship Manager / Authorized Person to trade in your account.
- As there are no fixed or guaranteed returns on investments in securities market, do not rely on any such commitments if any given by Authorised Person /Advisor.
- Never handover blank or signed Demat Slips Book to anyone, it is akin to signing a blank cheque.
- Do not give cash / securities to your Advisor / Relationship Manager / Authorized Person for any transaction
- Never give a third party cheque for funds pay-in or shares for shares pay-in.
- Do not enter into any personal agreement with Authorised Person / Advisor in connection with your transaction in trading / demat account opened with ASSL.

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

# QUESTIONNAIRE TOWARDS RISK PROFILING OF CLIENTS

## IDENTIFYING YOUR INVESTMENT RISK (From Investment Trading Perspective)

### 1 Familiarity with the Investment (Tick the applicable)

Not familiar at all       Somewhat familiar       Fairly familiar       Very familiar

### 2 Investment Longevity (Tick the applicable)

Less than 1 year       Within 1-3 years       Within 3-5 years       More than 5 years

### 3 Approximate percentage of your currently held asset in investment products (Tick the applicable)

Above 75%       Between 50% to 75%       Between 10% to 25%       Less than 10%

### 4 Your experience in Stock Market (Tick the applicable)

Highly Experienced       Very Experienced       No Experienced

### 5 Legal Actions (Tick the applicable)

Yes Rs. \_\_\_\_\_ (Amount involved)       No

### 6 Quantum of bearable loss (Tick the applicable)

Minimal amount of Capital loss       Moderate Capital Loss       High Capital Loss

### 7 Source of deployment of funds, whether borrowed (Tick the applicable)

Yes Name of the lender: \_\_\_\_\_ and amount borrowed Rs. \_\_\_\_\_       No

## ADDITIONAL INFORMATION

### 1 Details of the family member / group Companies being the promoter of the listed Company

(Tick the applicable)

Yes Name of the listed Company \_\_\_\_\_       No

### 2 Details of the family member / group Companies registered with SEBI (Tick the applicable)

Yes Mention details \_\_\_\_\_       No

### 3 Details of the family members / relatives having trading account with ASSL (Tick the applicable)

Yes Client Code \_\_\_\_\_ Name \_\_\_\_\_       No

### 4 Annual Income Bracket of the Customer (Tick the applicable)

= < ₹10 lacs       ₹10 to ₹50 lacs       ₹50 to ₹1 Crore       ₹1Crore and above

### 5 Residential Status (Tick the applicable)

NRI       Indian Resident

### 6 Purpose of Investment (Tick the applicable)

Wealth Creation       Retirement Corpus       Succession Plan Corpus

### 7 Customer Occupation (Tick the applicable)

Business       Service       Professional

### 8 Risk Appetite (Tick the applicable)

Low       Medium       High       Very High

### 9 Preferable Asset Class (Tick the applicable)

Equity       Debt       Hybrid       Real Estate       Rent yielding property       Alternative Investment Funds

### Additional Comments (to be filled by Client)

(Please write down any additional comments you may have relevant to determining your Risk Profile)

\_\_\_\_\_  
\_\_\_\_\_



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

## SOCIAL MEDIA INFORMATION OF THE CLIENT

Facebook ID																			
Twitter ID																			
Linkedin ID																			



To

**Ashika Stock Services Ltd.**

TRINITY, 7th Floor

226/1, AJC Bose Road, Kolkata - 700020

**Sub :- Internet Trading**

I/We wish to trade through internet in various segments as opted by me/us and confirm that I am / we are fully aware of and understands the risk associated with availing of a service of routing orders through internet including the risk of misuse and unauthorized use of my/our Username and/or Password by a third party and the risk of a person hacking into our account on your ITORS system and unauthorized routing order on behalf of us through the system. I/we agree that we shall be fully liable and responsible for any and all unauthorized use and misuse of my/our Password and /or Username and also for any and all acts done by any person through your ITORS system on our Username in any manner whatsoever. I/We shall not held ASSL or any of its employees liable for non execution of trades due to failure of networking or for any other reason thereof.

I/We hereby confirm you to send our Username and Password on the below mentioned e-mail address.

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

The non-receipt of bounced email notification by you shall not be construed as a ground for dispute in the future.

Thanks and best regards,

Applicant's Name			
Applicant's Address			
Applicant's Signature			
Mobile No.		Telephone No.	
Place		Date	



To

**Ashika Stock Services Ltd.**

TRINITY, 7th Floor

226/1, AJC Bose Road

Kolkata - 700020

Dear Sir,

1. With reference to my/our trading account opened with you, I/We request you to kindly allow me/us to trade on both online and offline mode.
2. I/We can trade online on internet as well as mobile device and can trade offline on the dealer's terminal of my/our Authorized Person/Trading Member terminal.
3. I/We completely understand that I/We shall be solely responsible for the rewards, risks or liabilities arising out of my/our trades that I/we place either on the online/offline mode as described above.
4. I/We may revoke the authorization at any time by issuing a physical letter for the effect.

Thanking You,

Yours truly,

Signature of the client

Name:

Client Code:



- **The Background**

The Prevention of Money-Laundering Act, 2002 (as amended) was notified on July 1, 2005. Subsequent to this, the Securities and Exchange Board of India (SEBI) has, on 18th January 2006, required market intermediaries to adopt a policy framework with respect to anti-money laundering measures to be followed by the intermediaries. Ashika Stock Services Limited (ASSL) is inter alia, a stock broker and a depository participant needs to adhere to the same.

- **The Objective**

- (a) Money laundering has now become one of the major concerns of international financial community. Money Laundering is not just an attempt to disguise money derived from illegal activities. Rather, money laundering is involvement in any transaction or series of transactions that seek to conceal or disguise the nature or source of proceeds derived from illegal activities, including drug trafficking, terrorism, organized crime, fraud and many other crimes.
- (b) Know Your Customer (KYC) is the guiding principle behind the Anti-Money Laundering (AML) measures. It incorporates the "Know Your Customer" Standards & "Anti Money Laundering" Measures, hereinafter to be referred as "KYC Standards" and "AML Measures". The objective of is to have in place adequate policies, practices and procedures that promote high ethical and professional standards and prevent Ashika Stock Services Limited from being used, intentionally or unintentionally, by criminal elements
- (c) KYC Standards and AML Measures would enable Ashika Stock Services Limited to know/ understand its customers, the beneficial owners in case of non-individual entities, the principals behind customers who are acting as agents and their financial dealings better which in turn will help the Company to manage its risks prudently.

- **Mandate issued by SEBI**

SEBI has mandated that KYC policy should be designed to combat Money Laundering which covers Customer acceptance policy and customer due diligence measures, including requirements for proper identification of the customers. In view thereof, Ashika Stock Services Limited has framed comprehensive KYC and AML policy.

- (a) No account should be opened in anonymous or fictitious/benami name(s) i.e. to say that anonymous or fictitious/benami customers shall not be accepted.
- (b) No account should be opened or transactions conducted in the name of or on behalf of banned/suspended individuals, organisations, entities, etc. For the purpose, necessary cross checks must be made to ensure that the identity of a customer does not match with any person with known criminal background or with banned/suspended entities. In case of requirement, clarification would be sought from the prospective / registered client.
- (c) No account should be opened if appropriate due diligence measures cannot be applied to a customer for want of verifiable documents on account of non co-operation of the customer or non-reliability of the data/information furnished to ASSL.

- **Customer Identification procedure**

Customer identification for each customer, whether existing, new, regular or occasional is an essential element of an effective customer due diligence programme.

The same includes "profiling of Customer", and solicitation of their "Identification", "Signature", "Address" and "income" documentation.

Clients need to provide documents as required in the account opening document and required under SEBI and PMLA regulations.

Clients need to also provide details of their Income/Net worth in order to ascertain their financial profile.

Clients are expected to update the same frequently and at least on annual basis.



**Rights & Obligations / Terms of Use to avail MTF**

Ashika Stock Services Limited (Ashika), member of National Stock Exchange of India Limited (NSE), BSE Limited (BSE), Multi Commodity Exchange of India Limited (MCX) and Metropolitan Stock Exchange of India Limited (MSE) is eligible to provide Margin Trading Facility (MTF) in NSE and BSE to its clients in accordance with prescribed guidelines, rules and circulars issued by SEBI / Stock Exchanges from time to time. The Rights & Obligations / Terms & Conditions for MTF prescribed hereunder form part of account opening form, shall be read in conjunction with the rights and obligations as prescribed under SEBI circular no. CIR/ MIRSD/ 16/ 2011 dated August 22, 2011, SEBI Circular No. CIR/MRD/DP/54/2017 Dated June 13, 2017 and the Rules, Regulations, Bye laws, Rights and Obligations, Guidelines, circulars issued by respective Stock Exchanges from time to time.

**The Client undertakes, authorizes, confirms and agrees to/that:**

1. Ashika shall have the liberty to exercise its right in its sole discretion to determine the extent at all times to which the MTF to be made available to the Client.
2. Ashika shall have discretion to allocate available securities/funds as collateral against MTF.
3. The Initial Margin payable shall be in the form of cash, cash equivalent, equity oriented ETF or Group I Equity securities with appropriate hair cut.
4. Ashika shall not be bound to grant MTF to the Client (which decision shall be at the sole and exclusive discretion of Ashika) and Ashika shall not be required to provide any reasons thereof nor shall Ashika be liable for any damages (whether direct or consequential or whether financial or non-financial) to the Client by reason of Ashika's refusal to grant MTF to the Client.
5. Client includes the followings: - Individual, Company, Partnership Firm, Trust, Hindu Undivided Family, Association of Persons and Body of Individuals etc.
6. The terms / conditions / Obligations of the Client as amended from time to time shall be irrevocable and shall not be revoked by the death/dissolution/ winding up of the Client.
7. Ashika to hold and / or to appropriate the credit lying in the Client account and/or any unutilized/ unpledged shares/ securities lying in demat account ( Client Margin Trading Securities Account , Client Collateral Account ( MTF) & Collateral Account, Client Respective Demat Account) / Mutual Funds / IPO account of the Client towards the repayment of the outstanding dues thereof under MTF.
8. Ashika to retain and / or pledge the securities and its corporate benefits lying in the Client Collateral Account ( MTF) with Clearing Member/Clearing Corporation, if any, utilized for availing MTF till the amount due in respect of the said transaction including the dues to Ashika is paid in full by the Client.
9. If the transaction is entered under MTF, there will not be any further confirmation that it is margin trading transaction other than contract note or statement sent on T+1 day in case client confirms MTF trade after issuance of contract note.
10. Consider the securities available in the Margin account/s linked to the trading account of the Client towards the MTF availed.
11. Ashika shall release/ unpledge / transfer the securities utilized for MTF within 7 working days from the date of clearing the dues to Ashika.

**Client's Right & Obligations**

1. May change the securities collateral offered for MTF at any time so long as the securities so offered are approved for MTF by Ashika.
2. Free to take the delivery of the securities at any time from its MTF account to normal trading account by repaying the amount that was paid by Ashika to the Exchange towards securities after paying all dues.
3. By agreeing to avail MTF with Ashika, client is deemed to have authorized Ashika to retain and/or pledge the securities provided as collateral under the MTF till the amount due in respect of the said transaction including the dues to Ashika is paid in full by the client.
4. Transaction/s to be considered for exposure to MTF shall be informed to Ashika in writing or in any other irrefutable mode of communication viz. email, SMS, Mobile notification or through telephone call not later than T+1 day, else the same shall be considered under normal trading facility.

**Ashika undertakes, authorizes, confirms and agrees to/that:**

1. Additional exposure over debit balance (arising out of trade executed under normal trading facility), beyond fifth trading day reckoned from pay-in date, may be granted under MTF to the extent the Client is eligible and subject to availability of required margin. In such event, Ashika in its discretion may identify the eligible/excess securities available

with the client in its Normal Client Collateral Account and transfer the same to its MTF Client Collateral Account. All credit arising out of sale transaction under MTF shall be first adjusted towards the debit under normal trading facility, if any and subject to adequate margin being maintained for the outstanding MTF debit.

2. Ashika shall monitor and review on a continuous basis the client's positions with regard to MTF.

### Ashika's Rights & Obligation

1. Ashika has a right to retain and/or pledge the securities provided as collateral by the client under the MTF.
2. Ashika may set up its own risk management policy that will be applicable to the transactions done under the MTF.
3. Ashika may make amendments thereto at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the MTF.
4. Ashika and client may agree between themselves the terms and condition including commercial terms if any before commencement of MTF.
5. Ashika may liquidate the securities (Collaterals & Funded Stock) as mutually agreed of liquidation terms.
6. The Securities deposited as collateral for availing MTF (Collaterals) and the Securities purchased under the MTF (Funded Securities) shall be identifiable separately and no comingling shall be permitted for the purpose of computing funding amount.
7. The daily margin statements sent by Ashika to the client shall identify the margin/collateral for Margin Trading separately.
8. Ashika shall not use the funds and securities of one client to provide MTF to another client, even on the authority of the client.
9. The Client may opt to terminate the MTF in the event of Ashika committing any breach of any terms or conditions herein or for any other reason.
10. In case the client determines to convert a normal trade into MTF after the issuance of contract note, Ashika shall issue appropriate records to communicate to the Client, the change in status of transaction from Normal to Margin trading and should include information like the original contract number and the margin statement and the changed data.
11. Ashika when makes a 'margin call' to the client, shall clearly indicate the additional / deficient margin to be made good.
12. Ashika shall close/terminate the account of the client forthwith upon receipt of request from the client subject to the condition that the client has paid the dues under MTF.
13. Whenever securities are liquidated by Ashika, the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.
14. The Client is advised to settle their MTF ledger once every 60 days, else an additional interest at the rate of 6% p.a. may be levied over and above the Interest rate at which the MTF facility is allowed.
15. The MTF collateral should be recommended to have a mix of minimum of five different stocks.

### Eligible Securities & Margin Required for MTF:

1. Securities specified under "MTF Approved Category List" by Ashika from time to time which must be a part of 'Group I security' as per Exchanges /SEBI shall be eligible for MTF as available on its website [www.ashikagroup.com](http://www.ashikagroup.com). Ashika reserves the right to exclude any Securities from its "MTF Approved Category List" as per the discretion of Risk Management Team without any prior intimation.
2. Ashika reserves the right to transfer any of the trades done in the normal market in the "MTF Approved Category List" to MTF trades at its discretion after bring the same to the knowledge of the respective client and preservation of relevant correspondence in this regard.
3. The client shall deposit the following initial margin, in order to avail MTF:

MTF Approved Category of Stock	Applicable Margin
Stocks available for trading in the F & O Segment	VaR + 3 times of applicable ELM
Stocks other than F&O stocks	VaR + 5 times of applicable ELM

4. Applicable Margin on the securities purchased i.e. "Funded Securities" under MTF shall be computed by grossing the following:-
  - a) Initial Margin as computed in Point No. 3 above.
  - b) MTM Loss (Reduction in the value of purchased stock due to Marked to Market)
  - c) Maintenance Margin as computed below:-  
 $130\% \text{ of Outstanding Balance} - \{ \text{Deposits ( Collateral + Funded Stock)} \}^* + \text{Shortfall in Initial Margin} + \text{MTM Loss}$   
 \*Collateral shares and Funded Shares shall be marked to market daily for the purpose of computing the margin/shortage of margin.

5. Ashika at its sole and absolute discretion may revise the limit of initial margin, minimum transaction amount from time to time, subject to SEBI / Exchange / Ashika requirements in this respect. The Client shall abide by such revision, and where there is an upward revision of such margin amount, the client agrees to make up the revised margin immediately, not later than 5 working days from the day of margin call.
6. The Initial Margin payable by the client shall be in the form of cash, cash equivalent, or Group I Equity securities with appropriate hair cut. Where the margin is made available by way of securities, Ashika is empowered to decline its acceptance of any securities as margin and/or to accept it at such reduced value as Ashika may deem fit by valuing it by marking it to market and applying haircuts.

#### **Communication Mode & Margin Call**

1. Accept all types communications including consent to the terms and conditions, order / trade confirmation, revision in margin, margin calls / decision to liquidate the position / security / collateral, margin statements, margin policies on haircuts / VAR margin, risk management policies, rights & obligations, allowable exposure, specific security exposure etc herein through email / SMS from his email id / mobile number registered with Ashika or by online mode by logging-in on the website of Ashika in a secured manner or by physical mode, based on client's preference.
2. Any communication done with any of the aforesaid means shall be deemed to have been received by the client.
3. If the Client is intimated about the Margin shortage through any of the mutually agreed mode of communication, then the client shall make good such deficiency in the amount of margin placed with Ashika. Margin call will be made if Margin available falls below the applicable margin as computed under point 4 – "Eligible Securities & Margin Required for MTF".

#### **Charges**

1. Brokerage, Statutory Charges and Other Charges will be charged as mutually agreed between the client & Ashika within the prescribed limits as specified by SEBI / Exchanges.
2. All outstanding dues under MTF shall carry Interest @ \_\_\_\_\_% p.a. unless mutually agreed otherwise.
3. The dues, wherever mentioned herein, includes but not limited to outstanding balances, interest, statutory taxes, duties, charges, penalties etc in respect of MTF availed by the Client.

#### **Settlement of MTF Account**

1. Margin Trading Accounts where there was no transaction for 90 days shall be settled immediately provided there are no dues outstanding in the MTF account. Debit balance, if any, in the normal trading account shall be first adjusted against the MTF account and the remaining amount shall be paid to the Client.
2. Client's balances in any other segment / exchange can be adjusted / recovered against dues in MTF account.

#### **Liquidation / Squaring-off of MTF Collaterals / Funded Securities**

MTF Collaterals / Funded Securities of client may be liquidated / squared off immediately in case of any of the following situations/conditions, without any further notice / intimation and all the losses and financial charges on account of such liquidation shall be charged and borne by the respective client:

1. If the value of the Collaterals deposited by client with Ashika to purchase Securities under MTF (Funded Securities), falls below the required Initial Margin as computed under point No 3 - Eligible Securities & Margin Required for MTF and such shortage continues for 5 trading days from the day of margin call.
  2. If the client fails to meet the Marked to Market Loss against the Funded Securities as computed under point No. 4 - Eligible Securities & Margin Required for MTF and such shortage continues for 5 trading days from the day of margin call (MTM Loss)
  3. If the total Deposits (Collateral + Funded Stock)\* fall below 130% but remains above 115% of the total outstanding dues under MTF and such shortage continues for 5 trading days from the day of margin call.
  4. If the total Deposits (Collateral + Funded Stock)\* fall below 115% of the outstanding dues under MTF.
  5. If any instrument for payment of Margin Money / Monies is / are dishonoured;
  6. If the Client violates/breaches any provision of this Arrangement or provides any incorrect or misleading information;
- \* After marked to market on daily basis
7. If the Client has voluntarily or compulsorily become the subject of any proceedings under any bankruptcy or insolvency law or winding up or liquidation proceedings or has a receiver or liquidator appointed in respect of itself or its assets or makes an application or refers itself to any authority for being declared as a "sick company", relief undertaking, bankrupt or insolvent or seeking financial reconstruction or any other like scheme (by whatever name called) or is

dissolved or there is a change in the constitution whether on account of the admission of a new partner or the retirement, death or insolvency of any partner or otherwise;

8. The death, lunacy or other disability of the Client;
9. If there is reasonable apprehension that the Client is unable to pay its outstanding dues or has admitted its inability to pay its dues, as they become payable;
10. If the Client is convicted under any criminal law in force;
11. If any Asset or any Security is seized or made subject to any distress, execution, attachment, injunction or other process order or proceeding or is detained or taken into custody for any reason;
12. Default under any other arrangement or facility with any Stock Broker is made by the Client;
13. There exists any other circumstance, which in the sole opinion of Ashika, is prejudicial to the interests of Ashika;
14. Order passed by any regulatory, courts, statutory bodies etc.

#### **Dispute Resolution**

1. Client shall lodge protest or disagreement with any transaction done under MTF within 24 hours from the date of receipt of such document / statements / contract notes/ any other communications.
2. Any disputes arising between the client and Ashika in connection with the MTF shall be resolved through the investor grievance redressal mechanism and/or arbitration mechanism of the stock exchanges as in the case of normal trades.

#### **Termination**

1. Client may close / terminate the MTF account at any time after paying the dues.
2. The margin trading arrangement between Ashika and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the MTF provided to Ashika or Ashika surrenders the facility or Ashika ceases to be a member of the stock exchange.
3. The MTF facility may be withdrawn by Ashika, in the event of client committing any breach of any terms or conditions therein or at any time after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the MTF in the event of Ashika committing any breach of any terms or conditions therein or for any other reason.
4. In the event of termination of this arrangement, the client shall forthwith settle the dues of Ashika. Ashika shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes Ashika to make such adjustment.
5. After such adjustment, if any further amount is due from the client to Ashika, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to Ashika, Ashika shall release the balance amount to the client.
6. If the client opts to terminate the MTF, Ashika shall forthwith return to the client all the collaterals provided and funded securities retained on payment of all the dues by clients.

**I/WE Agree to the above terms and conditions and thereby provide my/ our consent for the margin trading facility.**

<b>Client Code</b>	
<b>Client Name</b>	
<b>Client Signature</b>	

**Date**

**Place**

**DECLARATION FORM BY PARTNERS FOR PARTNERSHIP FIRM (For DEMAT A/c)****FORMAT**

(To be obtained on Pre-Printed Letter Head of the Firm)

To,  
**ASHIKA STOCK SERVICES LTD.**  
 'Trinity', 226/1, A.J.C. Bose Road  
 7th Floor, Kolkata - 700020

1. I / We have submitted an application for opening a joint account in the name(s) of \_\_\_\_\_, \_\_\_\_\_ and \_\_\_\_\_ for opening a Beneficial Owner [BO] account in the category "INDIVIDUAL" for holding and carrying out transactions in respect of securities belonging to our firm, as per the clarification issued by the Department of Company Affairs vide its Circular No. 5/75 (8/18/75-CL-V) dated March 31, 1975, Partnership Firm is not capable of being a member within the meaning of Section 41 of the Companies Act, 1956 / relevant section of Companies Act, 2013.
2. We represent the firm.
3. In consideration of you having agreed to accept the Permanent Account Number [PAN] issued by the Income Tax Department [ITD] to the firm along with our individual identity documents, we acknowledge and undertake as under :-
  - a) the acceptance of the PAN number of our firm does not amount to you having taken notice of trust or recognize our firm
  - b) we shall continue to be responsible for complying with the relevant provisions of the Companies Act, 1956/2013 and the Rules made thereunder and other applicable Laws, failing which we shall be responsible for the consequences thereof

Yours faithfully,

Signature	Signature	Signature
Partner's Name	Partner's Name	Partner's Name

**DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM (For Trading A/c)****FORMAT**

(To be obtained on Pre-Printed Letter Head of the Firm)

To  
**Ashika Stock Services Limited**  
 Head Office :Trinity, 226/1, A.J.C. Bose Road  
 7th Floor, Kolkata-700 020

Dated :

Dear Sir,

We refer to the trading account opened with you in the name of ..... and declare and authorize you as under:

We recognize that a beneficiary account can not be opened with a Depository Participant in the name of the partnership firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations, pursuant to the trading operations, we authorize you to recognize the beneficiary account No. .... With Depository .....: having DP ID ..... opened as a joint account in the names of the partners of the firm.

We agree that the obligations for shares purchased and/or sold by the firm will be handled and completed through transfers to/from the above-mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

Signature	Signature	Signature
Partner's Name	Partner's Name	Partner's Name

Instructions : Should be signed by all partners of the firm.

*In case of Partnership / LLP Accounts*  
**AUTHORITY LETTER IN FAVOUR OF MANAGING PARTNER/(S)**

**FORMAT**

(To be obtained on Pre-Printed Letter Head of the Firm)

We the partners of M/s ..... , a partnership firm, having its office at ..... (office address) City ..... State ..... hereby authorize Mr./Ms. .... and Mr./Ms. .... to open a securities trading account in Capital Market Segment, F&O Segment, Currency Derivative Segment, Commodity Derivative Segment and Debt Market segment on behalf of the firm M/s ..... with the Trading Member M/s Ashika Stock Services Ltd. for sale and purchase of shares/debentures/derivative instruments in Capital Market Segment(CM) and/or Futures and Options Segment (F&O) and/or Currency Derivatives Segment (CDX) and/or Commodity Derivatives Segment (CO) or any other segment that may be introduced by NSE/BSE/MSE/MCX/NCDEX in future. He/She/They is/are **singly/jointly** authorized on behalf of the firm to deal in equities, derivatives, commodities, debentures, debt products and the said Trading Member is hereby authorized to honor all instructions oral or written, given on behalf of the firm by him/her/them.

Mr./Ms..... and Mr./Ms..... is/are authorized to sell, purchase, transfer, endorse, negotiate documents and /or/ otherwise deal through Ashika Stock Services Ltd. on behalf of the firm M/s ..... He/She/They is/are also authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose.

However any partner/authorized signatory(ies) can issue cheques from bank account(s) in favor of Ashika Stock Services Ltd. for credit to share trading account of the firm with M/s Ashika Stock Services Ltd., even though his/their signatures may not be available on the records of Ashika Stock Services Ltd.

Note : Please affix rubber stamp of the firm for each signature

Signature	Signature	Signature
Partner's Name	Partner's Name	Partner's Name

**RESOLUTION IN CASE OF LLP (for Demat A/c)**

**FORMAT**

(To be obtained on Pre-printed Letter Head of the LLP)

We the partners of M/s ..... (Name of LLP) a partnership firm, having its office ..... hereby authorize the partner Mr. .... or Mr..... to open a Demat account with Ashika Stock Services Ltd. Depository Participant of Central Depository Services (I) Ltd., on behalf of the firm Ms/ ..... (Name of LLP) and to complete all account opening formalities, issue receipt/delivery instructions, Demat/Remat requests, cancellation of the aforesaid and all other acts as may be necessary for operations of the account and a copy of the said resolution to be delivered to "M/s Ashika Stock Services Limited for their reference and record."

RESOLVED FURTHER THAT Mr..... Or Mr....., designated partners are authorized to transfer, endorse, negotiate documents and/or otherwise deal with Ashika Stock Services Limited on behalf of the firm M/s .....(name of LLP). They are also **singly/Jointly** authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose.

However any partner/authorized signatories can issue cheques from bank account in favor of Ashika Stock Services Limited for credit to share trading account of the firm with M/s Ashika Stock Services Limited, even though their signatures may not be available on the records of Ashika Stock Services Ltd. These cheques may either be form the account of partnership firm or from individual account the said amount so given shall be solely / exclusively for the account of the firm maintained with Ashika Stock Services Limited.

For ..... (Name of LLP)

Signature with Seal	Signature with Seal	Signature with Seal
Name of Partner / Authorised Signatory	Name of Partner / Authorised Signatory	Name of Partner / Authorised Signatory

**BOARD RESOLUTION IN CASE OF CORPORATE / REGISTERED TRUST (For Demat A/c)****FORMAT****To be typed on company's letter head and signed by majority of directors of the company.**

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF BOARD OF DIRECTORS OF \_\_\_\_\_ (Company Name)  
 HAVING ITS REGISTERED OFFICE AT \_\_\_\_\_ (Company Address) HELD ON \_\_\_\_\_ (Meeting Date).

“Resolved that a **(CDSL / NSDL)** depository account of the company be opened in the name and style of \_\_\_\_\_ (name of the account) with M/s. Ashika Stock Services Limited [DPID : **(NSDL) IN303591 / (CDSL) 12034500**] and Mr./Mrs. \_\_\_\_\_ and Mr./Mrs. \_\_\_\_\_ **Director(s) / Authorized Signatory(ies)** are hereby **singly/jointly** authorized to complete all account opening formalities, issue receipt/delivery instructions, Demat/Remat requests, inter-settlement transfers, account closures/shifting/freeze/defreeze requests, pledge/hypothecation instructions, cancellation of the aforesaid and all other action as may be necessary for operations of the account and a copy of the said resolution to be delivered to “M/s. Ashika Stock Services Limited” for their reference and record.”

For, (Company Name)

Chairman/Company Secretary

Signature	Signature	Signature
Name of the Directors / Trustees	Name of the Directors / Trustees	Name of the Directors / Trustees

Note : Please carefully use the **BOLD** matter**BOARD RESOLUTION IN CASE OF CORPORATE / TRUST (For Trading A/c)****FORMAT****(To be obtained on Pre-Printed Letter Head of the Company)**

Extracts of the Minutes of the Meeting of the Board of Directors of «COMPANY/TRUST NAME» at its Registered Office at \_\_\_\_\_ on \_\_\_\_\_.

“RESOLVED THAT the company/trust may invest / trade in Securities / Derivatives Market / Commodities / Currency and be registered as CLIENT with Ashika Stock Services Ltd., a Member of NSE, BSE, MSE, NCDEX & MCX for the purpose of dealing/trading in equities, equity derivatives, currency derivatives, debentures, Commodity derivatives, debt products in NSE / BSE / MSE / MCX / NCDEX and the said member be and is hereby authorized to honor all instructions oral or written, given on behalf of the Company by any one of the under-noted authorized signatories:-

1. «Name of the authorised signatory» - «Designation»
2. «Name of the authorised signatory» - «Designation»

who are authorized to sell, purchase, transfer, endorse, negotiate and/or otherwise deal with Ashika Stock Services Ltd. on behalf of the Company/Trust.

RESOLVED FURTHER THAT «Authorised Signatory(ies), Designation» of the Company/Trust be and are hereby, **singly/jointly** authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this resolution.

RESOLVED FURTHER THAT «Authorised Signatory» is hereby authorized to submit the above resolution to Ashika Stock Services Ltd.

Chairman/Company Secretary

Specimen Signatures of the above noted Authorised Signatory(ies)

Signature with Seal	Signature with Seal	Signature with Seal
Name of the Director / Trustees	Name of the Director / Trustees	Name of the Director / Trustees

Please Note: Attach list of Directors/Trustees' as on date

# AUTHORITY-CUM-DECLARATION IN CASE OF HUF AND JOINT FAMILY

**FORMAT**

(To be obtained on Pre-Printed Letter Head of the HUF)

To  
Ashika Stock Services Limited  
'TRINITY', 226/1, A.J.C. Bose Road,  
7<sup>th</sup> Floor, Kolkata - 700020

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

As our HUF wishes to open a Trading and / or Demat account with your company in the name of \_\_\_\_\_

we hereby state that the first signatory to this letter, i.e. \_\_\_\_\_  
is the Karta of the joint family and other signatories are adult coparceners of the said family.


We hereby authorize the said Karta to open a Trading and / or Beneficiary Demat Account with Ashika Stock Services Limited in the name and on behalf of the HUF. He is further authorized to sign, execute and submit such applications, undertakings and other requisite documents, writings and deeds as may be deemed necessary to expedient to open such account and give effect to this purpose. Ashika Stock Services Limited is hereby authorized to honor all instructions oral or written, given on behalf of HUF by the said Karta.

We further confirm that the business of the said Joint family is carried on mainly by the said Karta in the interest and benefit of the entire body of coparceners and members of the joint family. We all undertake that claims due to Ashika Stock Services Limited, from the said family shall be recoverable personally from all or any of us and also from the entire family properties of which the first signatory is the Karta, including the share of minor coparceners.

In view of the fact that ours is not a firm governed by the Indian Partnership Act, 1932, we have not got our said Family registered under the said Act. We hereby undertake to inform Ashika Stock Services Limited of the death or birth of any coparcener or any change occurring at any time in the membership of our Joint Family during the currency of the account.

List of current members of the said HUF is as under noted,

Sr.#	Name	Gender	Date of Birth	Designation & relation with Karta (Self, Spouse, Son, Daughter, Parent) 1. Karta 2. Coparcener 3. Adult Member 4. Minor Member	PAN Compulsory for Karta Coparceners & Adult Members For Minor member(s) mention their respective Date of Birth	Politically Exposed Person (PEP) / Non-PEP	Signature Compulsory for Karta, Coparceners & Adult Members For Minor members mention NA
1						<input type="checkbox"/> PEP <input type="checkbox"/> Non-PEP	
2						<input type="checkbox"/> PEP <input type="checkbox"/> Non-PEP	
3						<input type="checkbox"/> PEP <input type="checkbox"/> Non-PEP	
4						<input type="checkbox"/> PEP <input type="checkbox"/> Non-PEP	
5						<input type="checkbox"/> PEP <input type="checkbox"/> Non-PEP	

  
\_\_\_\_\_  
Stamped and signed by Karta of the said HUF

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

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

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph. #
3. Identity card 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.)

### F. IN CASE OF NON-INDIVIDUALS, ADDITIONAL DOCUMENTS TO BE OBTAINED FROM NON-INDIVIDUALS, OVER & ABOVE THE POI & POA, AS MENTIONED BELOW:

<p><b>CORPORATE</b></p> <ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years or for the relevant applicable period (to be submitted every year).</li> <li>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).</li> <li>Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</li> <li>Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>Copy of the Board Resolution for investment in securities market.</li> <li>Authorised signatories list with specimen signatures</li> </ul> <p><b>PARTNERSHIP FIRM</b></p> <ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years or as applicable (to be submitted every year).</li> <li>Certificate of registration (for registered partnership firms only).</li> <li>Copy of partnership deed.</li> <li>Authorised signatories list with specimen signatures.</li> <li>Photograph, POI, POA, PAN of Partners.</li> </ul> <p><b>TRUST</b></p> <ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years or as applicable (to be submitted every year).</li> <li>Certificate of registration (for registered trust only).</li> <li>Copy of Trust deed.</li> <li>List of trustees certified by managing trustees/CA.</li> <li>Photograph, POI, POA, PAN of Trustees.</li> </ul>	<p><b>HUF</b></p> <ul style="list-style-type: none"> <li>PAN of HUF.</li> <li>Deed of declaration of HUF/ List of coparceners.</li> <li>Bank pass-book/bank statement in the name of HUF.</li> <li>Photograph, POI, POA, PAN of Karta.</li> </ul> <p><b>UNINCORPORATED ASSOCIATION OR A BODY OF INDIVIDUAL</b></p> <ul style="list-style-type: none"> <li>Proof of Existence / Constitution document</li> <li>Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>Authorised signatories list with specimen signatures.</li> </ul> <p><b>BANK / INSTITUTIONAL INVESTORS</b></p> <ul style="list-style-type: none"> <li>Copy of the constitution / registration or annual report / balance sheet for last 2 Financial years</li> <li>Authorised signatories list specimen signatures</li> </ul> <p><b>FOREIGN INSTITUTIONAL INVESTORS (FII)</b></p> <ul style="list-style-type: none"> <li>Copy of SEBI registration certificate</li> <li>Authorised signatories list with specimen signatures</li> </ul> <p><b>ARMY/GOVERNMENT BODIES</b></p> <ul style="list-style-type: none"> <li>Self-certification on letterhead.</li> <li>Authorized signatories list with specimen signatures.</li> </ul> <p><b>REGISTERED SOCIETY</b></p> <ul style="list-style-type: none"> <li>Copy of Registration Certificate under Societies Registration Act.</li> <li>List of Managing Committee members.</li> <li>Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>True copy of Society Rules and Bye Laws certified by the Chairman / Secretary.</li> </ul>
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# Not applicable for CKYC

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## INSTRUCTIONS / NOTES

1. All communication shall be sent at the address of the Sole/First Holder only.
2. Thumb impressions and signatures other than English or Hindi or any other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Signatures should be preferably in Black Ink.
4. Details of the Names, Address, Telephone Number(s) etc., of the Magistrate / Notary / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. Instructions related to nomination, are as below :
  - I. The nomination can be made only by individuals holding beneficiary owner/trading account on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. If the Demat account is held jointly, all joint holders must sign the nomination form.
  - II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
  - III. The Nominee(s) can not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a Power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
  - IV. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
  - V. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
  - VI. The cancellation of nomination can be made by individuals holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of Power of Attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all holders must sign the cancellation form.
  - VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
  - VIII. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
  - IX. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
  - X. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided.
  - XI. Savings bank account details shall only be considered if the account is maintained with the same participant.
  - XII. DP ID and Client ID shall be provided where Demat details is required to be provided.
7. Strike off whichever is not applicable
8. Clarifications with respect to Bank Proof to be submitted
  - i Photocopy or cancelled cheque having the pre-printed name of the account holder where the cheque book is issued, (or)
  - ii Photocopy of the Bank Statement for last two quarters having name and address of the client with Bank Logo or attested through respective bank.
  - iii Photocopy of the Passbook having name and address of the client, (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.
9. Provide a copy of either Demat Master or a recent holding statement issued by DP bearing name of the Client
10. **For Individuals:**
  - a. 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.
  - b. Registered Authorised Person / Sub-broker are also authorised to perform 'In-person Verification'.
  - c. In case of non-resident clients, employees of 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.
11. **For Non Individuals:**
  - a. Account Opening Form need to be initialized by all the authorized signatories.
  - b. 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.
12. **Additional documents in case of trading in Derivatives Segments - illustrative list:**

Copy of ITR Acknowledgment	In case of Salary Income - Salary Slip, Copy of Form 16
Copy of Latest Annual Accounts	Net Worth Certificate
Copy of Latest Demat Account Holding Statement	Copy of Bank Statement for last 6 months
Any other relevant documents substantiating ownership of assets	Self declaration with relevant supporting documents.

