



Account Opening Form – Individual
(Demat & Trading)

BANSAL SHARES AND SECURITIES PRIVATE LIMITED	
Depository Participant - CDSL	Stock Broker
Trading Member & Self Clearing Member - BSE Limited	

Registered Office Address: BANSAL SHARES AND SECURITIES PRIVATE LIMITED 2-A,84 Nehru Nagar Ghaziabad U.P. 201001 Email: _____ Support@bansalshares.com Website: bansalshares.com	Correspondence Office Address: BANSAL SHARES AND SECURITIES PRIVATE LIMITED Telephone: _____ Email: _____/ _____ Website: _____
Director: HARSH BANSAL Telephone: 8745094515 Email: _____/ CAHARSHBANSAL23@GMAIL.COM	SEBI Registration Information: INZ000326036 Member of CDSL: Registration Date: Member ID Registration Date:
Compliance Officer (BSE): MUKESH BANSAL Telephone: 9350774515 Email: _____/ CAMUKESHBANSAL@GMAIL.COM	Clearing Member Information:
Compliance Officer (DP): Telephone: _____ Email: _____/ _____	

For any grievance/ dispute please contact Bansal Shares And Securities Pvt Ltd at the above address and/or Email id: Support@bansalshares.com and/or Phone no.:

In case not satisfied with the response, please contact the concerned Exchange(s) at:

Procedure to file a complaint on SEBI SCORES: Register on SCORES portal. Mandatory details for filing complaints on SCORES: Name, PAN, Address, Mobile Number, E-mail ID.

Signature: _____

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 foreign language, then translation into English is required.
4. Name & address of the Applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proof 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 guidelines under the Foreign Exchange Management Act, 1999 ("**FEMA**")), 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/ marksheet 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/ document with Applicant's Photo, issued by any of the following: Central/ State Government and its Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities,

Signature: _____

Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/ Debit cards issued by Banks.

C. Proof of Address (POA): *List of documents admissible as Proof of Address:*

*(*Documents having an expiry date should be valid on the date of submission.)*

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

D. Exemptions/ Clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/ multilateral agencies exempt from paying taxes/ filing tax returns in India.
4. SIP of Mutual Funds up to
5. In case of institutional clients, namely, FPIs, Mutual Funds (MFs), Venture Capital Funds (VCFs), Foreign Venture Capital Funds (FVCIs), Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 2(72) of the Companies Act, 2013, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

Signature: _____

E. List of people authorized to attest the documents:

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

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

Types of Entity	Documentary Requirements
Corporate	• Copy of the balance sheets for the last financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011, duly certified by the Company Secretary/ Whole Time Director/ MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of Whole Time Directors/ two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and Certificate of Incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised Signatories list with specimen signatures.
Partnership Firm	• Copy of the balance sheets for the last financial years (to be submitted every year). • Certificate of Registration (for registered partnership firms only). • Copy of partnership deed. • Authorised Signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of Registration (for registered trust only). • Copy of Trust deed. • List of Trustees certified by managing trustees/ CA. • Photograph, POI, POA, PAN of Trustees.
HUF	• PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/ bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated Association or a Body of Individuals	• Proof of Existence/ Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized Signatories list with specimen signatures.

Signature: _____

Banks/ Institutional Investors	• Copy of the constitution/ registration or annual report/ balance sheet for the last 2 financial years. • Authorized Signatories list with specimen signatures.
Foreign Portfolio Investors (FPI)	• Copy of SEBI registration certificate. • Authorized Signatories list with specimen signatures.
Army/ Government Bodies	• Self-certification on letterhead. • Authorized Signatories list with specimen signatures.
Registered Society	• Copy of Registration Certificate under Societies Registration Act, 1860. • List of Managing Committee members. • Committee resolution for persons authorised to act as Authorised Signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/ Secretary.

G. Additional documents in case of trading in derivatives segments - illustrative list:

1. Copy of ITR acknowledgement
2. Copy of annual accounts
3. In case of salary income - Salary Slip, Copy of Form 16
4. Net worth certificate
5. Copy of demat account holding statement
6. Bank account statement for last 6 months
7. Any other relevant documents substantiating ownership of assets.
8. Self declaration with relevant supporting documents.

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

H. Copy of cancelled cheque leaf/ pass book/ bank statement specifying name of the constituent, MICR Code and/or IFSC Code of the bank should be submitted.

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

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

For non-individuals:

- a. Form needs 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/ others & their specimen signatures.

Signature: _____

Further Instructions to the Applicants (BOs) for account opening:

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate/ Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate/ Notary Public/ Special Executive Magistrate/ Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the Account Opening Form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence/ queries shall be addressed to the first/ sole applicant.
7. Strike off whichever option, in the Account Opening Form, is not applicable.

Signature: _____

INDEX

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI AND EXCHANGES			
Sr. No.	Documents	Significance	Page No(s).
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent. B. Document captures the additional information about the constituent relevant to trading account.	1
2.	Rights and Obligations	Document stating the Rights & Obligations of Stock Broker/ Trading Member and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading).	Refer Pg. 37
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market	Refer Pg. 37
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange for the education of the investors	Refer Pg. 37
5.	Policies and Procedures	Document describing significant policies and procedures of the Stock Broker	Refer Pg. 37
6.	Tariff Sheet	Document detailing the rate/ amount of brokerage and other charges levied on the client for trading on the stock exchange(s) and charges related to demat account	11
7.	Most Important Terms & Conditions	Document detailing the terms and conditions related to trading	38
VOLUNTARY DOCUMENTS			
Sr. No.	Documents	Significance	Page No(s).
8.	Demat Debit and Pledge Instruction' (DDPI)	Document seeking authorization by client to the Stock Broker, to access the demat account of the client for specified purposes only.	15
9.	Nomination Form	Details of any nomination made to the demat account	17
10.	Undertakings & Declarations	Various Undertakings, Declarations and Authorisations by the client	25 - 37
11.	FATCA & CRS Declaration	Details under reporting related to Foreign Account Tax Compliance Act, 2010	39

Telephone: 8745094515

Email: Support@bansalshares.com

Website: bansalshares.com

Know Your Client (KYC) Application Form (For Individuals)

Please fill this form in English and BLOCK Letters

FOR OFFICE USE ONLY		
DP Name	Bansal Shares And Securities Pvt Ltd	
NSDL/ CDSL	CDSL	
Application Number		
Application Type	☐ New	☐ Modification
Beneficiary Name		
DP ID		
BO ID		
UCC Code allotted		

A. IDENTITY DETAILS (Sole/ 1 st Holder)		PHOTOGRAPH	
		Please affix your recent passport size photograph and sign across it.	
1. Name of the Applicant			
2. Father's/ Spouse Name			
3. a. Gender	☐ Male	☐ Female	☐ Transgender
b. Marital Status	☐ Single	☐ Married	
c. Date of Birth	(dd/mm/yyyy)		
4. a. Nationality			
b. Status	☐ Resident	Non-Resident	Foreign National
5. a. PAN			
b. Unique Identification Number (UID)/ Aadhar, if any			
6. Specify the proof of Identity submitted			

B. ADDRESS DETAILS	
1. Address for Correspondence	
City/ Town/ Village	
PIN Code	
State	
Country	
2. Contact Details - Tel. (Off.)	
Tel (Res.)	
Mobile Number	
Fax	
Email ID	
3. Specify the proof of address submitted for correspondence address	
4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant)	
City/ Town/ Village	
PIN Code	
State	
Country	
5. Specify the proof of address submitted for permanent address	

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.	
Signature of Holder(s)	
 Sole/ 1st Holder	
Date:	(dd/mm/yyyy)

FOR OFFICE USE ONLY	
☐ (Originals verified) True copies of documents received	
☐ (Self-attested) Self Certified Document copies received	
Signature of the Authorised Signatory	Seal/ Stamp of the Intermediary
Date: (dd/mm/yyyy)	

C. TRADING ACCOUNT RELATED (OTHER) DETAILS		
1. Bank Account Details		
Bank Name		
Branch Address		
Bank Account Number		
Account Type	☐ Savings	☐ Current
Account Type (Others – In case of NRI/ NRE/ NRO)		
MICR Number		
IFSC Code		
2. Demat Account Details		
DP Name	Bansal Shares And Securities Pvt Ltd	
NSDL/ CDSL		
Beneficiary Name		
DP ID		
BO ID		
3. Whether DP Account is also to be opened with the same Intermediary	☐ Yes	☐ No
4. Trading Preferences (Please sign the relevant boxes where you wish to trade)		
Exchange: NSE	NA	
Exchange: BSE	All Segments	
	Cash/ Mutual Funds	
	Futures & Options	
	Currency	
	Debt	
Exchange: MSEI	NA	

Exchange: MCX, NCDEX, BSE & NSE (Commodity Derivatives)					
If you do not wish to trade in any of the Segments/ Mutual Funds, please mention					
5. Mode of receiving Contract Note/ Statement of Account (Please indicate your preference)	☐ Physical		☐ Electronic		
6. Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)	☐ Yes		☐ No		
7. Number of years of investment/ trading experience	☐ New		☐ 1 – 5 Years		☐ 5 – 10 Years
	☐ 10 – 15 Years		☐ 15+ Years		
8. Standing instructions to receive credits automatically into my BO Account	☐ Yes		☐ No		
9. Introducer Details (optional)					
Surname					
Name					
Middle Name					
Status of the Introducer	☐ Remisier		☐ Authorised Person		
	☐ Existing Client		☐ Others, please specify		
Address of the Introducer					
Phone No. of the Introducer					
Signature of the Introducer					
10. Nomination Details: I/ We wish to nominate	Please refer to Exhibit 1				
I/ We do not wish to nominate	Please refer to Exhibit 2				
11. Gross Annual Income Details (please specify): Income Range per annum (₹) OR Net-worth (as on date) Should not be older than 1 year (₹)	☐ Below 1L	☐ 1L – 5L	☐ 5L – 10L	☐ 10L – 25L	☐ Above 25L
12. Occupation (please tick any one and give brief details)	☐ Private Sector		☐ Public Sector		☐ Government Service
	☐ Business		☐ Professional		☐ Agriculturist
	☐ Retired		☐ Housewife		☐ Student

	☐ Others: _____	
13. Please tick, if applicable	☐ Politically Exposed Person (PEP)	☐ Related to a Politically Exposed Person (PEP)
14. Any other information		
15. Past Actions	Details of any action/ proceedings initiated/ pending/ taken by SEBI/ Stock Exchange/ any other authority against the Applicant/ constituent or its Partners/ promoters/ whole time directors/ authorized persons in charge of dealing in securities during the last 3 years: _____ _____ _____	
16. Dealings through other Stock Brokers (whether dealing with any other Stock Broker)		
Name of Stock Broker		
Client Code		
Exchange		
Details of disputes/ dues pending from/ to such Stock Broker		

DECLARATION	
1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.	
2. I/We confirm having read/ been explained and understood the contents of the 'Policy and Procedures' document of the Stock Broker and the Tariff sheet.	
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on Stock Broker's designated website, if any.	
Signature of Holder(s)	
_____ Sole/ 1st Holder	
Date:	(dd/mm/yyyy)

FOR OFFICE USE ONLY			
	Documents verified with originals	Client interviewed by	In-Person verification done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date & Time [#]	(dd/mm/yyyy)		
Signature			
Location [#]			
Longitude [#]			
Latitude [#]			

[#]The Time, Location, Longitude, and Latitude correspond to the live image captured during the online Demat and Trading Account opening process.

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

If the client chooses to avail the demat facility from the same Stock Broker who is also a Depository Participant, the Stock Broker may use the same form and provide the details of the demat account opened for the said client to the client while providing a copy of the KYC documents.

Signature of the Authorised Signatory	Seal/ Stamp of the Stock Broker
Date: (dd/mm/yyyy)	

Telephone:

Email: _____

Website: _____

Additional Know Your Client (KYC) Form for Opening a Demat Account (For Individuals)

Please fill this form in English and BLOCK Letters

TO BE FILLED BY THE DEPOSITORY PARTICIPANT	
Date	(dd/mm/yyyy)
Application Number	
DP Internal Reference Number	
DP ID	
Client ID	

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

HOLDER DETAILS	
1. Sole/ 1 st Holder's Name	
a. PAN	
b. UID	
c. UCC	
d. Exchange Name & ID	
2. 2 nd Holder's Name	
a. PAN	
b. UID	
3. 3 rd Holder's Name	
a. PAN	
b. UID	
4. Name*	
*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.	

TYPE OF ACCCOUNT (Please tick whichever is applicable)		
Status	Sub-Status	
☐ Individual	☐ Individual Resident	☐ Individual - Director
	☐ Individual Director's Relative	☐ Individual HUF/ AOP
	☐ Individual Promoter	☐ Minor
	☐ Individual Margin Trading Account (MANTRA)	☐ Others (specify)
☐ NRI	☐ NRI Repatriable	☐ NRI Non-Repatriable
	☐ NRI Repatriable Promoter	☐ NRI Non-Repatriable Promoter
	☐ NRI – Depository Receipts	☐ Others (specify)
☐ Foreign National	☐ Foreign National	☐ Foreign National – Depository Receipts
	☐ Others (specify)	

Details of Guardian (in case the Account Holder is a Minor)	
Guardian's Name	
Guardian's PAN	
Relationship with the Applicant	

Account Statement Requirement	☐ Daily	☐ Weekly	☐ Fortnightly
	☐ Monthly		☐ As per SEBI Regulation
Relationship with the Applicant			

I/ We instruct the DP to receive each and every credit in my/ our account (If not marked, the default option would be 'Yes')	☐ Yes	☐ No
I/ We would like to instruct the DP to accept all the pledge instructions in my/ our account without any other further instruction from my/ our end (If not marked, the default option would be 'No')	☐ Yes	☐ No
I/ We request you to send Electronic Transaction-cum-Holding Statement at the email ID: _____	☐ Yes	☐ No
I/ We would like to share the email ID with the RTA	☐ Yes	☐ No
I/ We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)	☐ Physical	☐ Electronic
	☐ Both Physical and Electronic	
I/ We wish to receive dividend/ interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time.]	☐ Yes	☐ No

Bank Details (Dividend Bank Details)	
Bank Code (9 digit MICR Code)	

IFSC Code (11 characters)		
Bank Account Number		
Account Type	☐ Savings	☐ Current
	☐ Others (specify)	
Bank Name		
Branch Name		
Bank Branch Address		
City		
State		
Country		
PIN Code		
(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or) (ii) Photocopy of the Bank Statement having name and address of the BO (iii) Photocopy of the Passbook having name and address of the BO, (or) (iv) Letter from the Bank. In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present/ mentioned on the document.		

Other Details					
Gross Annual Income Details					
Income Range per annum (₹) OR Net-worth (as on date) Should not be older than 1 year (₹)	☐ Below 1L	☐ 1L – 5L	☐ 5L – 10L	☐ 10L – 25L	☐ Above 25L
Occupation	☐ Private Sector	☐ Public Sector	☐ Government Service		
	☐ Business	☐ Professional	☐ Agriculture		
	☐ Retired	☐ Housewife	☐ Student		
	☐ Others: _____				
Please tick, if applicable	☐ Politically Exposed Person (PEP)		☐ Related to a Politically Exposed Person (PEP)		
Any other information					

SMS Alert Facility (Please refer to Terms & Conditions given as Exhibit 3)	
Mobile No. [(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)].	

<i>Easi</i>	To register for <i>easi</i> , please visit our website _____ <i>Easi</i> allows a BO to view his ISIN balances, transactions and value of the portfolio online.
-------------	--

DECLARATION	
I/ We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/ We declare that the particulars given by me/ us above are true and to the best of my/ our knowledge as on the date of making this application. I/ We agree and undertake to intimate the DP any change(s) in the details/ particulars mentioned by me/ us in this application. I/ We further agree that any false/ misleading information given by me/ us or suppression of any material information will render my account liable for termination and suitable action.	
Signature of Holder(s)	
Sole/ 1 st Holder	
Date:	(dd/mm/yyyy)

Registered Office/ Dealing Office: 2-A,84 Nehru Nagar Ghaziabad U.P. 201001

Telephone: 8745094515
 Email: Support@bansalshares.com
 DP ID:
 Member of CDSL:

TARIFF STRUCTURE

Various Charges	Individuals/ HUFs/ Non-Corporates	Corporates
Account Opening	FREE	FREE
Refundable Deposits*	₹ /-	₹ /-
Statutory Charges (One Time at Actual) – (Optional) – POA	₹ /-	₹ /-
Transaction Charges for On Market/ Off Market/ Inter Depository/ Repurchase/ Redemption/ Restat-SOA		
Custody Charges		
Demat Charges		
Rematerialisation Charges		
Pledge Creation/ Closure and Confirmation of Both Charges		
Pledge Invocation Charges		
Failed/ Rejection Instruction Charges		
Demat Rejection Charges		
Statement Request Charges		
Email Statement	Periodic Bills and Transaction Statements and other Communications will be sent by email only. Terms & Conditions for the same to be mandatorily executed. Requests for Physical Statements will be charged as mentioned above.	
Cheque Bounce Charges	At Actuals	

Please Note:

All the above Charges are excluding the applicable Taxes.

*Refundable Deposits:

If the Demat Account is closed within a period of 2 years, no refund will be given. However, if the Demat Account is closed after a period of 2 years, ₹500/- will be deducted as Annual Maintenance Charges and the balance will be refunded.

OTHER CHARGES

In addition to the above, the following specific charges will be applicable:

Delay in payment of Monthly Bills	Interest @ 13% p.a. on the Value outstanding on the bill from the due date (which would be one month from the bill date)
Non-payment of Bills after the Due Date for payment	The depository services for the Demat Account will be temporarily withdrawn. A renewal fee of ₹100/- per Demat Account will be charged to the client for resuming his/her deposit operations.

Notes:

1. Services not covered above will be charged separately.
2. Charges are subject to change as per the Company's sole discretion and as per the changes in the tariff rates of CDSL.
3. Bansal Shares And Securities Pvt Ltd reserves the right to change the rates from time to time by giving 30 days' notice.
4. All payments to be made in the name of Bansal Shares And Securities Pvt Ltd Depository account via Cheque/DD payable at the local branch where the Demat Account is opened.
5. Any penalty charged by CDSL for late instruction will be charged to the Demat Account at 0.05% + CDSL charges.

The Basic Services Demat Account (BSDA) charges structure shall be as below:

Value of Holdings in the Demat Account (<i>Debt as well as other than Debt securities combined</i>)	Maximum Annual Maintenance Charges (AMC)
Upto ₹4 Lakhs	
More than ₹4 Lakhs and upto ₹10 Lakhs	₹
More than ₹10 Lakhs	Not a BSDA, regular AMC may be levied.

Signature of Holder(s)
Sole/ 1st Holder
Date: (dd/mm/yyyy)

BANSAL SHARES AND SECURITIES PRIVATE LIMITED

Registered Office/ Dealing Office: 2-A,84 Nehru Nagar Ghaziabad U.P. 201001

Telephone: 8745094515
Email: Support@bansalshares.com
DP ID:
Member of CDSL:

TARIFF SHEET

To
Bansal Shares And Securities Pvt Ltd
2-A,84 Nehru Nagar Ghaziabad
U.P. 201001

Subject: Charges for Bansal Shares And Securities Pvt Ltd

I/ We agree to pay the charges as per the following charges structure for our Trading Account with Bansal Shares And Securities Pvt Ltd

Client ID: _____

Charge Head	Brokerage/ Charges
Equity Intraday	of the Turnover (One Side only)
Equity Delivery	of the Turnover
Futures	Not Applicable
Options	Not Applicable
Currency Futures	Not Applicable
Currency Options	Not Applicable
NRI – Equity Intraday	of the Turnover (One Side only)
NRI – Equity Delivery	0.40% of the Turnover
NRI – Futures & Options	Not Applicable

In addition to the brokerage charge the following charges will also be levied.

Schedule of Charges:

1. Exchange Transaction Charges;
2. Clearing Charges;
3. Securities Transaction Tax;
4. Goods & Services Tax;
5. SEBI Turnover Fees;
6. Stamp Duty: State-wise stamp duty as applicable will be levied.

Please Note:

1. Brokerage will not exceed the rates specified by SEBI and the Exchanges;
2. All Statutory and Regulatory charges will be levied as per exchange, SEBI, and depository circulars published from time to time;
3. Brokerage is also charged on expired, exercised, and assigned Options contracts;
4. Charges for other value added services will be applicable at the time of availing such service, upon your consent.

Signature of Holder(s)	
_____ Sole/ 1st Holder	
Date:	(dd/mm/yyyy)

ADDENDUM TO THE DDPI

Details of demat account where securities shall be moved towards stock exchange related deliveries/settlement obligation, pledging, re-pledging of securities in favour of TM/CM for meeting margin requirement, mutual fund transaction on stock exchange platform and tendering shares in open offer-:

Purpose 1- Towards Stock Exchange related deliveries/settlement obligations arising out of trades executed by clients					
Sr. No.	Account no.	Sr. No.	Account no.	Sr. No.	Account no.
1	1202060000000270	2	1100001100014460	3	1100001000013494
4	1202060000787809	5	IN555502	6	IN631798
7	IN470580				
Purpose 2- Pledging/re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients.					
Sr. No.	Account no.	Sr. No.	Account no.	Sr. No.	Account no.
1	120206001393958	8	1202060001410706	15	IN30096610961810
2	1202060001394514	9	1202060001410670	16	IN30096610961828
3	1202060001394529	10	1202060001410685	17	IN30096610961836
4	1202060001394533	11	1202060001410161	18	IN30096610961844
5	1202060001394548	12	IN30096610961684	19	IN30096610969718
6	1202060001394552	13	IN30096610961797		
7	1202060001397188	14	IN30096610961801		
Purpose 3- Mutual fund transactions being executed on stock exchange order entry platform					
Sr. No.	Account no.	Sr. No.	Account no.	Sr. No.	Account no.
1	IN620031	2	IN565576	3	1100001000020972
4	1100001100017837				
Purpose 4- Tendering shares in open offers through Stock Exchange platforms					
Sr. No.	Account no.	Sr. No.	Account no.	Sr. No.	Account no.
1	1202060000000270	2	1100001100014460	3	1100001000013494



Signature of 1st holder



Signature of 2nd holder



Signature of 3rd holder

Globe Capital Market Limited

Annexure-A

Demat Debit and Pledge Instruction (DDPI)

Client UCC Code	
Demat / Client-ID	
Date	
Place	

I/We request to activate the DDPI facility for following purposes:-

	Purpose	Signature of Client*
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	 Signature of 1st holder
		 Signature of 2nd holder
		 Signature of 3rd holder
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	 Signature of 1st holder
		 Signature of 2nd holder
		 Signature of 3rd holder
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	 Signature of 1st holder
		 Signature of 2nd holder
		 Signature of 3rd holder
4	Tendering shares in open offers through Stock Exchange platforms	 Signature of 1st holder
		 Signature of 2nd holder
		 Signature of 3rd holder

* the same may be signed physically against each purpose of DDPI or may also be eSigned

* in this regard refer the clause in 'Rights and Obligations' Document under the sub heading 'Additional Rights and obligations. given on website and in client copy of KYC

* Additional Right and Obligations - The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI."

NOMINATION FORM:		Registration No. _____	Date _____
Mandatory Details		Annexure A	
1. I/We wish to make nomination [as per details given below] (You can nominate upto 3 persons)			
Sr. No.	Details	1st Nominee	2nd Nominee
1.	Name of the nominee*		
2.	Relationship with the Applicant		
3.	Date of Birth (If nominee is minor)		
2. I want the following nomination details to be printed in the account / holding statements (tick one of the boxes below): ☐ Name of the Nominee(s) ☐ Whether nomination given: Yes / No (not name of the nominee)			
3. Optional details of nomination:			
	Details	1st Nominee	2nd Nominee
(a)	% Share of nominee** (equal share if % is not specified)		
(b)	Mobile of nominee*** (Please note that the DP / MF RTA will be able to reach out to your nominee if you provide the contact details)		
(c)	Email ID of nominee*** (Please note that the DP / MF RTA will be able to reach out to your nominee if you provide the contact details)		
(d)	Specify Personal identifier document Aadhaar (last four digit), PAN, Driving Licence, Passport ***		
** Any odd lot after division shall be transferred to the first nominee mentioned in the form. *** The aforesaid details shall be optionally provided for the Guardian, in case of nominee is a minor.			
	Sole / First Holder / Guardian (Mr./Ms.) (in case of Minor)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
Name			
Signatures****	(4)	(2)	(2)
**** If Nomination Is Submitted Online: validate through Digital Signature Certificate or Aadhaar-based e-sign or by using any other e-sign facility recognized under Information Technology Act, 2000 or two factor authentication (2FA) in which one of the factors shall be a One-Time Password (OTP) sent to the registered mobile number and email address. Physical / offline: wet signature (signature of witness shall not be required). However, if thumb impression (instead of wet signature) is affixed, then the same shall be witnessed by two persons and details of such witnesses (name and address) shall be duly provided in this form.			

Notes:

- The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust body corporate and partnership firm, karta of Hindu Undivided Family holder of DDPI cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
- 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.
- The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a DDPI holder. A non-resident Indian can be a Nominee, subject to the exchange / depository controls in force, from time to time.
- 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.
- Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
- The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, karta of Hindu Undivided Family, holder of DDPI cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
- 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).
- Investors can provide, changes or cancel nominations any number of times.
- The signature of all the joint holders shall be obtained for providing / changing nomination regardless of mode of operations.
- This nomination shall supersede any prior nomination made by the investor(s), if any.
- Investors can change nomination any number of times.
- Investor have the right to receive acknowledgement of the nomination form for each instance of nomination / subsequent change.
- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impressions and signatures other than English or Hindi or any of the 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.
- For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.
- In case if first holder is selected, the communication will be sent as per the preference mentioned at Sr. No. 4. In case "All joint account holders" is opted, communication to first holder will be sent as per the preference mentioned at Sr. No. 4 and communication to other holders will be in electronic mode. The default option will be communication to first holder, if no option selected.
- Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents.
- Savings bank account details shall only be considered if the account is maintained with the same participant.
- DP ID and client ID shall be provided where demat details is required to be provided.
- Strike off whichever is not applicable.

Declaration Form for opting out of nomination**(Annexure B)**

UCC/DP ID:		Client ID:	
------------	--	------------	--

I hereby confirm that I do not wish to appoint any nominee(s) to my demat account/ mutual fund folio at this point of time.

I understand that -

- the nomination helps to quickly identify the person for transfer of securities and helps in faster and smoother transmission of my securities to my legal heir(s) after my demise.
- in the absence of a nomination, my legal heir(s) may require the submission of certain additional legal or court-issued documents which may delay the process of transmission of securities to my legal heir(s).
- if no claim is made on the account / folio for a prolonged period after my demise, the holdings may be treated as unclaimed assets and they may be transferred to Investor Education and Protection Fund Authority (IEPF) in accordance with the applicable regulatory framework.

I confirm that I have understood the above implications and that my decision to opt out of nomination is voluntary.

	Sole / First Holder / Guardian (Mr./Ms.) (in case of Minor)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
Name			
Signatures	(5) 	(3) 	(3) 

CONSENT LETTER FOR AVAILING BSE StAR MF FACILITY

To

Bansal Shares And Securities Pvt Ltd

2-A,84 Nehru Nagar Ghaziabad
U.P. 201001

Subject: BSE StAR MF

Dear Sir/ Madam

I/ We are interested in availing the trading facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE StAR MF.

For the purpose of availing this facility, I/ We state that Know Your Client details as submitted by us for the stock broking may be considered for the purpose of BSE StAR MF and I/ we further confirm that the details contained in same remain unchanged as on date.

I/ We are willing to abide by the terms and conditions as mentioned in the Circular dated December 2, 2009 and as may be specified by the Exchange from time to time in this regard.

I/ We shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/ We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/ we choose to subscribe/ redeem. I/ We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/ We therefore request you to register us as your Client for participating in BSE StAR MF.

Yours faithfully,

Signature of Holder(s)
Sole/ 1st Holder
UCC:
DPID:

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date	(dd/mm/yyyy)
DP ID	
Client ID	
Sole/ 1 st Holder Name	

To

Bansal Shares And Securities Pvt Ltd

2-A,84 Nehru Nagar Ghaziabad

U.P. 201001

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 of my/ our CDSL account though I/ we have issued a Power of Attorney (POA)/ registered for eDIS/ executed PMS agreement in favour of/ with Bansal Shares And Securities Pvt Ltd for executing delivery instructions for settling stock exchange trades (settlement related transactions) effected through such Power of Attorney holder - Clearing Member for executing delivery instructions through eDIS.

☐ 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 Bansal Shares And Securities Pvt Ltd executing delivery instructions for settling stock exchange trades (settlement related transactions) effected through such Power of Attorney Holder - Clearing Member 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.

Signature of Holder(s)
Sole/ 1st Holder

RUNNING ACCOUNT AUTHORISATION (Voluntary)

To

Bansal Shares And Securities Pvt Ltd

2-A,84 Nehru Nagar Ghaziabad
U.P. 201001

Mumbai

Dear Sir/ Madam

I/ We am/ are dealing through you as a client in Cash/ Derivative/ Currency Segment in BSE/ NSE/ SLBM and in order to facilitate ease of operation and upfront requirement of margin for trade as per SEBI & Exchange Circulars:

I/ We authorize Bansal Shares And Securities Pvt Ltd through this authorisation letter as under:

1. I/ We hereby give my/ our consent to maintain a running balance in my/ our account and retain credit balance in any of my/ our account and to use the unused funds towards my/ our margin/ pay-in/ other future obligation(s) of any segment(s) of any or all the Exchange(s)/ Clearing Corporation unless I/ We instruct/ revoke you otherwise.
2. I/ We have read the circular and request you to settle my fund and securities account as below: (choose one option)

☐ Monthly OR ☐ Quarterly
3. As per SEBI Circular No. SEBI/HO/MIRSD/DOP/P/CIR/2022/101 dated July 27, 2022, the settlement of running account of funds of the client shall be done by the trading member after considering the End of the Day (EOD) obligation of funds as on the date of settlement across all the Exchange on first Friday/ Saturday of the Quarter (i.e., Apr-Jun, Jul-Sep, Oct-Dec, Jan-Mar) for all the clients. If first Friday is a trading holiday, then such settlement shall happen on the previous trading day. For clients, who have opted for Monthly settlement, running account shall be settled on first Friday/ Saturday of each month. If first Friday is a trading holiday, then such settlement shall happen on the previous trading day.
4. I/ We am/ are having credit balance and have not done any transaction in the 30 calendar days since the last transaction, the credit balance shall be returned to me/ us, on first Friday/ Saturday of the next month.
5. I/ We confirm that I/ we shall bring to your notice, any dispute arising from the statement of account or settlement so made, in writing preferably within 7 working days from the date of receipt of funds/ securities or statement of account or statement related to it, as the case may be at registered office.
6. I/ We confirm that the above mentioned authorization shall continue until it is revoked by me/ us.
7. I/ We confirm having read the above circular and this running account authorization.

Yours faithfully,

Signature of Holder(s)
_____ Sole/ 1st Holder
UCC:
DPID:

To

Bansal Shares And Securities Pvt Ltd
2-A,84 Nehru Nagar Ghaziabad
U.P. 201001

Subject: Declaration for Basic Services Demat Account (BSDA) Facility

I/ We wish to avail the BSDA facility for the new account for which we have submitted my/ our Account Opening Form.

☐ I/ We wish to avail the BSDA facility for my/ our above mentioned Demat account number

OR

☐ I/ We do not wish to avail the BSDA facility for my/ our above mentioned Demat account number.

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

☐ I, the Sole/ 1st holder also hereby declare that I do not have/ propose to have any other Demat account across depositories as a Sole/ 1st holder.

OR

☐ I/ We have been informed about the BSDA facility and its benefits by the DP and understood the regulatory (SEBI) guidelines for availing a Basic Services Demat Account.

Yours faithfully

Signature of Holder(s)
Sole/ 1st Holder
Date: (dd/mm/yyyy)

Terms and Conditions-cum-Registration/ Modification Form for receiving SMS Alerts from CDSL

[SMS Alerts will be sent by CDSL to BOs for all debits]
(Exhibit 3)

Definitions:

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

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

Availability:

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration/ change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get/ get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at _____. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees:

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

Disclaimer:

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

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

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

BO ID:								
8-digit DP ID								
8-digit Client ID								
Sole/ 1 st Holder's Name								
Mobile Number on which messages are to be sent (Please write only the mobile number without prefixing country code or zero)								
The mobile number is registered in the name of:								
Email ID: (Please write only ONE valid email ID on which communication; if any, is to be sent)								

To
Bansal Shares And Securities Pvt Ltd
2-A,84 Nehru Nagar Ghaziabad
U.P. 201001

Consent Form

Dear Sir/ Madam

I, _____ S/o/ D/o/ W/o _____,
give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose
of verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC Record includes my KYC/ personal information such as my name, address, date of
birth, PAN number etc.

Yours faithfully,

Signature of Holder(s)
_____ Sole/ 1 st Holder
UCC:
DPID:

From 	To Bansal Shares And Securities Pvt Ltd 2-A,84 Nehru Nagar Ghaziabad U.P. 201001
---------------------------------	---

Subject: Declaration for Confirmation of Signature

Bansal Shares And Securities Pvt Ltd

Dear Sir/ Madam

This letter is to confirm that all signatures placed on the Account Opening Form, and all such other documents towards Bansal Shares And Securities Pvt Ltd, are done solely by me with complete knowledge of all such terms and clauses contained therein.

I/ We, the undersigned, would like to request Bansal Shares And Securities Pvt Ltd to accept the signed Account Opening Form and documents, even in case there may be slight variations on a few pages/ areas of the document.

I/ We, the undersigned, further would like to represent and warrant that in case of any misrepresentation with respect to the signatures placed on the Account Opening Form or all such documents towards Bansal Shares And Securities Pvt Ltd by me/us, I/ We will indemnify Bansal Shares And Securities Pvt Ltd and its directors employees/ agents for all such actions.

Yours faithfully

Signature of Holder(s)
Sole/ 1 st Holder
Date: (dd/mm/yyyy)

To

Bansal Shares And Securities Pvt Ltd
2-A,84 Nehru Nagar Ghaziabad
U.P. 201001

Mumbai

Subject: Acknowledgement of receipt of documents

This is to acknowledge the receipt of following documents. I further state and confirm that I have read and understood all the clauses of aforesaid documents.

Sr. No.	Particulars of Documents
1.	Account Opening Form
2.	Copy of KYC Application Form
3.	Rights & Obligations (at the registered email)
4.	Risk Disclosure Document (at the registered email)
5.	Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors (at the registered email)
6.	Policies & Procedures (at the registered email)
7.	Tariff Sheet
8.	Most Important Terms & Conditions
9.	Undertaking & Declarations (Voluntary) (Basic Services Demat Account, DIS Booklet, Running Account Authorisation, Terms & Conditions – SMS Alert, and other relevant documents forming part of the Account Opening Form and/or prescribed by SEBI/ Exchange(s) from time to time.)

I/ We also confirm that I/ we have received the relevant clarifications, if any, wherever required from the designated person of Bansal Shares And Securities Pvt Ltd

Yours faithfully,

Signature of Holder(s)	
Sole/ 1st Holder	
Date:	(dd/mm/yyyy)

MOST IMPORTANT TERMS AND CONDITIONS

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

Signature of Holder(s)
Sole/ 1st Holder

FATCA-CRS Declaration Declaration Form for Individuals <i>(Please seek appropriate advice from your tax professional on your tax residency, related FATCA & CRS guidance)</i> <i>(Voluntary)</i>		
Date:	Place:	AOF Reference No.:

Sole/ 1 st Holder			
1. PAN			
2. Name			
3. Father's/ Spouse Name			
4. Address Type	☐ Residential	☐ Registered Office	☐ Business
5. Residence Address for Tax purpose			
City/ Town/ Village			
PIN Code			
State			
Country			
6. Nationality	☐ Indian	☐ U.S.	
	☐ Others (please specify)		
7. Place of Birth			
8. Country of Birth			
9. Identification Type - Documents submitted as proof of identity of the individual			
10. Identification Number - for the identification type mentioned above			

Are you a tax resident (i.e. are you assessed for Tax) in any other country other than India?	
☐ Yes	☐ No

If 'Yes', please fill for all countries (other than India) in which you are a Resident for tax purpose i.e. where you are a Citizen/ Resident/ Green Card Holder/ Tax Resident in the respective countries:

Sr. No.	Country of Tax Residence*	Tax Identification Number (TIN) or Functional Equivalent	Identification Type [TIN or other, please specify]	If TIN is not available, please tick the reason A, B or C [as defined below]		
1.				☐ A	☐ B	☐ C
2.				☐ A	☐ B	☐ C
3.				☐ A	☐ B	☐ C

- Reason A: The country where the Account Holder is liable to pay tax does not issue TIN to its residents.
- Reason B: No TIN required [Select this reason only if the authorities of the respective country of tax residence do not require the TIN to be collected]
- Reason C: Others – Please specify the reasons

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

DECLARATION

I/ We hereby declare, agree and confirm the following:

- The details furnished above are true to the best of my knowledge and belief and shall undertake to inform Bansal Shares And Securities Pvt Ltd within 30 days, in case of any change in the above given status on a future date;
- If I/ we am/are U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details, would be reported by status Bansal Shares And Securities Pvt Ltd to the relevant tax authority, or information may be shared with concerned Asset Management Companies (AMCs) or such other product providers, to whom FATCA/ CRS norms are applicable or to any of the Government Agencies/ Tax authorities/ Regulators/ Exchanges/ Depositories of India or of any country other than India;
- If my/ our Country of Birth is U.S., however, I/ we declare that I/ we are not U.S. Person, I/ we shall provide a certificate of relinquishment of citizenship (Loss of nationality) OR a self certification stating reasons for not having such a certificate despite relinquishing U.S. citizenship OR not obtaining US citizenship at birth.

Signature of Holder(s)

Sole/ 1st Holder

Date:

(dd/mm/yyyy)

ACKNOWLEDGEMENT

We, Bansal Shares And Securities Pvt Ltd, acknowledge the receipt of FATCA & CRS declaration form duly filled and signed from Mr./ Ms./ M/s. _____
having PAN _____.

Signature of the Authorised Signatory

Seal/ Stamp of the Intermediary

Date:

(dd/mm/yyyy)