



Account Opening Form – Non-Individual
(Demat & Trading)

		Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
		A. KYC form - Document captures the basic information about the constituent	5
		B. Document captures the additional information about the Constituent relevant to trading account and an instruction /check list.	6 – 8
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).	Ann-1
	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	Ann-2
		Document detailing do's and don'ts for trading on exchange, for the education of the investors.	Ann-3
5	Policies and Procedures	Document describing significant policies and procedures of Stock Broker.	Ann-4
6	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	9
7	MITC	Most Important Terms & Condition	4
VOLUNTARY AND OPTIONAL DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
8	Undertaking	Contains voluntary undertakings by the client with respect to Bansal Shares And Securities Pvt Ltd internal operations during the course relationship with Bansal Shares And Securities Pvt Ltd	10– 12
9	Authorization for Electronic Contract Notes	Client consent letter for receiving the contract notes by Email.	13
10	Declaration & Authorization For Account Modification	Client consent letter for receiving SMS from Bansal Shares And Securities Pvt Ltd and acent declaration stating that he is not a defaulter. Authorization for account detail modification	14
11	Running Account Authorization	Letter of Authorization for maintaining a Running Account with Bansal Shares And Securities Pvt Ltd	15
12	Voluntary Freezing/ Blocking of Online Access to the Trading Account	Clients can freeze/block the online access of the trading platform in case of any suspicious activities by calling 8745094515 or emailing Support@bansalshares.com	18

Bansal Shares And Securities Pvt Ltd

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

Ghaziabad U.P. 201001

 Phone: 8745094515 website bansalshares.com

Correspondence address: same as above

SEBI Registration No. : INZ000326036

Compliance officer Name:

MUKESH BANSAL

CEO Name:

HARSH BANSAL

Phone No. & mail ID:
[8745094515](tel:8745094515), CAMUKESHBANSAL@GMAIL.COM
[8745094515](tel:8745094515), CAHARSHBANSAL23@GMAIL.COM

 For any grievance please contact Bansal Shares And Securities Pvt Ltd at the above address or email Support@bansalshares.com and Phone no. 8745094515

In case not satisfied with the response, please contact the concerned exchange at:

 1. NSE: ignse@nse.co.in or contact at 022-26598100

 2. BSE: is@bseindia.com or contact at 022-22728097

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 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 / document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.
- C. **Proof of Address (POA):** - List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)
 1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
 2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
 3. Bank Account Statement/Passbook -- Not more than 3 months old.
 4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
 5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary Public / Elected representatives to the Legislative Assembly/ Parliament / Documents issued by any Govt. or Statutory Authority.
 6. Identity card/document with address, issued by any of the following: Central/State Government and its departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
 7. For FII / sub account, Power of Attorney given by FII / sub-account to the Custodians (which are duly notarized and / or apostilled or consularised) that gives the registered address should be taken.
 8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected.)

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

Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

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

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

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

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

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* DD - MM - YYYY

Date of Commencement of Business DD - MM - YYYY

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 see 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

District*

PIN / Post Code*

State / U.T Code*

City / Town / Village*

ISO 3166 Country Code*

3.2 Local Address in India (If different from Above)*

Line 1*

Line 2

Line 3

District*

PIN / Post Code*

State / U.T Code*

City / Town / Village*

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)

- Date : □ □ — □ □ — □ □ □ □ Place: □ □ □ □ □ □ □ □ □ □

Signature / Thumb Impression of Authorised Person(s)

KYC VERIFICATION CARRIED OUT BY

[Employee Signature]

A Clarification / Guidelines for filing Entity Details section

1 Entity Constitution Type

A - Sole Proprietorship	H - Trust	O - Artificial Jurisdical 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 entitles, FORM 60 may be obtained if PAN is not available.

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

- 1 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.
- 2 Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- 3 Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
- 4 '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.
- 5 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 6 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

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

D Clarification / Guidelines for 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.

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

- 1 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.
- 2 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.
- 3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
- 4 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.

List of two digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State/U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GO	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Entrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FR	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Island	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Island	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Moyotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SI
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	MZ	Taiwan province of china	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hongkong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire Coted'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion Reunion	RE	Virgin Island, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao Curacao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy Saint Barthelemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French Part)	MF		

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

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 ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ 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)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				
Date of Birth*				
Gender*	☐ M- Male	☐ F- Female	☐ T-Transgender	
Nationality*	☐ IN- Indian	☐ Others (ISO 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 (anyone 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

☐ PHOTO*



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 and 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 (anyone 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
 II ☐ 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 communication will be sent on provided mobile no. / 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/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

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 VERIFICATION CARRIED OUT BY

Date - -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number.

Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.

2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker’s Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

S1

(Sole/First Holder’s Sign.)



(This information is the sole property of Bansal Shares And Securities Pvt Ltd and would not be disclosed to any one unless required by law or except with the express permission of clients) Please fill this form in ENGLISH and in BLOCK LETTERS.

Bansal Shares And Securities Pvt Ltd

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

Ghaziabad U.P. 201001

Phone: 8745094515

SEBI Registration No. : INZ000326036

HUF ☐ Partnership Firm ☐ Proprietary Firm ☐ Corporate ☐

A. IDENTITY DETAILS

1. Name of the Applicant Company/ Firm: _____ As per PAN card _____
2. PAN: _____ Compulsory
3. Constitution: _____
4. 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 No. _____
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: _____

C. OTHER DETAILS

1. Date of incorporation /formation: _____
2. Date of commencement of business: _____
3. Nature of Business: _____
4. Registration number: _____
5. Gross Annual Income Details (please specify): Income Range per annum:
Below Rs 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ >25 Lacs or
Net-worth as on (date) _____ (Net worth should not be older than 1year)
6. Please tick, if applicable: Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐

S 2

Client Signature

Date: _____

TRADING ACCOUNT RELATED DETAILS
A. BANK ACCOUNT DETAILS

	PRIMARY BANK ACCOUNT	SECONDARY BANK ACCOUNT
Bank Name		
Branch Address		
Bank Account No.		
Account Type:	Savings ☐ Current ☐ Others ☐	Savings ☐ Current ☐ Others ☐
In case of NRI Account	NRE ☐ NRO ☐	NRE ☐ NRO ☐
MICR Number		
IFSC code		

B. DEPOSITORY ACCOUNT(S) DETAILS

		Existing details								New details							
DP Name		Bansal Shares And Securities Pvt Ltd															
DP id	NSDL	I	N							I	N						
	CDSL																
Beneficiary Name																	
DP A/c no																	

C. 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 _____

D. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-broker's Name: _____ SEBI Registration number: _____

Registered office address: _____

Ph: _____ Fax: _____ Website: _____

Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of stock broker: _____ Name of Sub-Broker, if any _____

Client Code: _____ Exchange: _____

Details of disputes/dues pending from/to such stock broker/sub- broker: _____

S 3

Client Signature

Date: _____

E. TRADING PREFERENCES / EXPERIENCE

No Prior Experience ☐ Years in Equities ____/____/____ Years in Derivatives ____/____/____

Years in other Investment Related Field ____/____/____

	Cash	F&O	Currency Derivatives	Commodity
	S 4 (a) ➡	S 4 (b) ➡	S 4 (c) ➡	S 4 (d) ➡

If, in future, the client wants to trade on any new segment, a separate authorization/letter should be taken from the client by the broker.

F. ADDITIONAL DETAILS

i. Whether you wish to receive (a) Physical contract note ☐ (b) Electronic Contract Note (ECN) ☐

If ECN specify your Email id: _____

ii. Whether you wish to avail of the facility of internet trading/ wireless technology/mobile trading YES ☐ NO ☐

iii. Number of years of Investment / Trading Experience: _____

G. INTRODUCER DETAILS (optional)

Name of the Introducer: _____

Status of the Introducer: Sub-broker/Remiser/Authorized Person/Existing Client: Client ID _____

Others, please specify _____

Address of the Introducer: _____

Phone no. of the Introducer: _____

Signature of the Introducer: _____

H. Names and Designation of persons authorized to deal in securities/ derivatives/ currency derivatives on behalf of the company / firm / others and their residential address

1. Name : _____ Designation: _____

Address : _____

2. Name : _____ Designation: _____

Address : _____

3. Name : _____ Designation: _____

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.

S 5

Client Signature

Personal Details Of Directors / Managing Directors / Wholetime Directors / Partners / Karta Of HUF / Co-Parcener

Name		Paste passport size photograph of Karta and cross sign over it
Designation		
Residential Address		
Date Of Birth		
Qualification		
PAN No. (Compulsory)		

Name		
Designation		
Residential Address		
Date Of Birth		
Qualification		
PAN No. (Compulsory)		

Name		
Designation		
Residential Address		
Date Of Birth		
Qualification		
PAN No. (Compulsory)		

Name		
Designation		
Residential Address		
Date Of Birth		
Qualification		
PAN No. (Compulsory)		

S 6

Client Signature

DECLARATION

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

Place _____

Date _____

S7

Client Signature

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

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

Signature of the Authorised Signatory

Date _____

Seal/Stamp of the stock broker

TARIFF SHEET

To

Bansal Shares And Securities Pvt Ltd

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

Ghaziabad U.P. 201001

Sub: Charges for Bansal Shares And Securities Pvt Ltd Trading Services

Dear Sir or Madam,

I would like to subscribe to the Bansal Shares And Securities Pvt Ltd plans and request Bansal Shares And Securities Pvt Ltd to apply any applicable tariff as per the terms and conditions of Bansal Shares And Securities Pvt Ltd I hereby authorize Bansal Shares And Securities Pvt Ltd. to debit my ledger for the subscription amount as per terms and conditions of Bansal Shares And Securities Pvt Ltd Rs. for Equity or Rs. for Currency per month unlimited Plan or Rs. per trade plan for Commodity, if I choose to subscribe to either plan.

Rs. 12.99 Per executed order Plan

For no monthly fees, you will be allowed to trade CASH, F&O, CURRENCY, and Commodity at Rs. executed order. For BSE Cash Intraday and NSE Cash Intraday, you can trade at Rs. per executed order or whichever is lower. For BSE Cash Delivery and NSE Cash Delivery, you can trade at Rs. per executed order or 0.10% whichever is lower. For Currency, you can trade at Rs. per executed order or Rs. per lot whichever is lower. For Commodity, you can trade at Rs. per executed order.

Rs. 1299 Per Month unlimited Plan

Subscribers will get the first orders free for one month under the Rs. plan. Post orders, Rs. per executed order will be charged. You can do unlimited trading across NSE Cash, BSE Cash and NSE F&O segments.

Rs. 1299 Per Month unlimited Plan

Subscribers will get the first orders free for one month under the Rs. plan. Post orders, Rs. per executed order will be charged. You can do unlimited trading across Currency Future and Options.

FOR NSE F&O, NSE CM, BSE CM - PLEASE SELECT ONLY ONE

Rs. Per trade Plan ☐	Rs. per month unlimited Plan. ☐
---	--

FOR NSE CURRENCY - PLEASE SELECT ONLY ONE

Rs. Per trade Plan ☐	Rs. per month unlimited Plan. ☐
---	--

FOR MCX

Rs. Per trade Plan ☐

*Turnover for Options is calculated as (Strike + Premium)*Lot Size

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

Schedule of charges:

- | | |
|-------------------------------|--|
| 1. Transaction Charges | 4. Stamp Duty |
| 2. Securities Transaction Tax | 5. Education and Higher Education Cess |
| 3. GST | 6. SEBI Turnover Fees |

Terms and Conditions can be subject to change.

The terms and conditions of the Bansal Shares And Securities Pvt Ltd. plans has been read and understood by me. I wish to avail the plans below provided by Bansal Shares And Securities Pvt Ltd my trading account subject to the terms and conditions mentioned above

S 8

Client Signature

Date: _____



Bansal Shares And Securities Pvt Ltd

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

Ghaziabad U.P. 201001

SUB : UNDERTAKING / AUTHORISATION

With respect to Member-Constituent Relationship and Mandatory and Voluntary (optional) Documents executed between us, I / We do hereby authorize Bansal Shares And Securities Pvt Ltd to do the following:

1. Order Placement Instructions

I acknowledge that placing, modifying, or canceling orders typically requires written instructions. However, since it is not practical for me to give written instructions. In cases where online trading is unavailable due to internet issues or other reasons, I may need to place orders via call, email, or in person at the designated branch.

I hereby request you to kindly accept my, my authorized representative or mandate holder's verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other modes. I indemnify Bansal Shares And Securities Pvt Ltd and its employees against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my instructions for orders placed verbally.

Additionally, I understand that Bansal Shares And Securities Pvt Ltd bears no liability for non-execution, lost opportunities, or any claims related to the GTT Feature, including failure to execute, cancellation, or non-placement of orders (Fully or partially).

2. ERRORS AND OMISSIONS

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances Bansal Shares And Securities Pvt Ltd shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold Bansal Shares And Securities Pvt Ltd responsible beyond this and claim additional damages/loss.

I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by Bansal Shares And Securities Pvt Ltd

3. NO MARKET MANIPULATION

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, Bansal Shares And Securities Pvt Ltd has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

4. NOT TO ACT AS UNREGISTERED SUB BROKER

I undertake not to act as unregistered Authorized Person and deal only for myself and not on behalf of other clients. In case I wish to deal for other clients also, I undertake to apply to SEBI through Bansal Shares And Securities Pvt Ltd to obtain an Authorized Person registration.

In case Bansal Shares And Securities Pvt Ltd perceives that I am acting as an unregistered Authorized Person, Bansal Shares And Securities Pvt Ltd has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to Bansal Shares And Securities Pvt Ltd without the requirement of any notice from Bansal Shares And Securities Pvt Ltd. Further, Bansal Shares And Securities Pvt Ltd has the right to inform the concerned regulatory authorities about the same.

In aforesaid eventuality, I agree and undertake to indemnify Bansal Shares And Securities Pvt Ltd has the right to from any loss/ damage/claim arising out of such activity.

5. NOT DEBARRED BY ANY REGULATOR

I confirm and declare that there is no bar on me imposed by any Exchange or any Regulatory and/or Statutory authority to deal in securities directly or indirectly. I agree to inform Bansal Shares And Securities Pvt Ltd, in writing, of any regulatory action taken by any Exchange or Regulatory/ Statutory authority on me in future. In case I fail to inform

the same and Bansal Shares And Securities Pvt Ltd on its own comes to know of such action, Bansal Shares And Securities Pvt Ltd has the right to suspend/close my trading account and refuse to deal with me.

Also, Bansal Shares And Securities Pvt Ltd . can at its sole discretion, close all the open positions and liquidate collaterals to the extent of debit balances, without any notice to me.

6. PMLA DECLARATION

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by Bansal Shares And Securities Pvt Ltd. officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that;

- a. I do not have any links with any known criminal
- b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

7. INDEMNIFICATION

I hereby indemnify and hold provisions of Bansal Shares And Securities Pvt Ltd, its Directors and employees harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the Bansal Shares And Securities Pvt Ltd. directly or indirectly, relating to bad delivery of shares/securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

INDEMNITY OF JOINT HOLDINGS

I hereby agree to indemnify and hold the Bansal Shares And Securities Pvt Ltd. harmless from any claims, demands, actions, proceedings, losses, damages, liabilities, charges, and /or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

8. MUTUAL FUND SERVICE SYSTEM (MFSS) FACILITY

I am interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange. For the purpose of availing the MFSS facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also 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 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 choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me.

9. VOLUNTARY FREEZING/BLOCKING THE ONLINE ACCESS OF THE TRADING ACCOUNT

Clients can freeze/block the online access of the trading platforms in case any suspicious activities are noticed by calling at 8745094515 or mail us at Support@bansalshares.com

Yours faithfully



Client Signature

Applicant Name: _____

Date : _____

A. THIRD-PARTY PAYMENTS

Bansal Shares And Securities Pvt Ltd shall have the prerogative to refuse payments received from any bank account the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along-with adequate proof thereof as per Performa prescribed by Bansal Shares And Securities Pvt Ltd shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third-party payment has been accepted by Bansal Shares And Securities Pvt Ltd and the credit for the same has been given in the client's ledger, Bansal Shares And Securities Pvt Ltd shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, Bansal Shares And Securities Pvt Ltd reserves the right to liquidate any of the open positions and or the collaterals received/ held on behalf of the client. Bansal Shares And Securities Pvt Ltd, its Directors and any of employees shall not be responsible for any consequential damages or losses.

B. NO DEALINGS IN CASH

Bansal Shares And Securities Pvt Ltd. as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub-Broker/Remisier/Employee/Authorised Person of Bansal Shares And Securities Pvt Ltd

C. DISCLOSURE OF PROPRIETARY TRADING BY Bansal Shares And Securities Pvt Ltd.

Pursuant to SEBI Circular Number INZ 000326036 Bansal Shares And Securities Pvt Ltd discloses to its clients about its policies on proprietary trades. Bansal Shares And Securities Pvt Ltd does proprietary trades in the cash and derivatives segment at NSE, BSE, MCX.

D. DELIVERIES

The client shall ensure that the shares are properly transferred to the designated demat account of Bansal Shares And Securities Pvt Ltd, for effecting delivery to the Exchange against the sale position of the client. Such transfer shall be entered by the client within the time specified by SEBI/Exchanges/ Bansal Shares And Securities Pvt Ltd In case the client fails to transfer the shares on time to Bansal Shares And Securities Pvt Ltd shall not be responsible for any loss/damages arising out of such delayed transfers.

E. SQUARING OFF OF POSITIONS & SALE /LIQUIDATION OF COLLATERAL MARGINS

The client shall settle the transactions, within the Exchange specified settlement time, by making the requisite payment of funds and/or delivery of the shares.

In case the client fails to settle the transactions within the settlement date, then Bansal Shares And Securities Pvt Ltd has the right to square off the open and/or unpaid positions, at an appropriate time, as it deems fit, without any notice to the client. The client shall not have any right or say to decide on the timing of closure of the open positions that needs to be closed. Bansal Shares And Securities Pvt Ltd has its Directors and Employees shall not be responsible for any loss or damages arising out of such square offs. All such square off transactions shall have implied consent and authorization of the client in favour of Bansal Shares And Securities Pvt Ltd.

After such square off of open positions by Bansal Shares And Securities Pvt Ltd, as mentioned in above clauses, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balance, Bansal Shares And Securities Pvt Ltd shall have the right to liquidate the shares and other securities of the client (kept as collateral/margin) to the extent of the debit balance, without any intimation to the client. The client shall not have the right to decide on the timing of liquidation of shares and securities held in collateral/margin and the shares and securities that needs to be sold or liquidated. Bansal Shares And Securities Pvt Ltd, its Directors and employees shall not be responsible for any loss or damages arising out of such selling.

S10

Client Signature



LETTER OF AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES

Date: _____

To

Bansal Shares And Securities Pvt Ltd

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

Ghaziabad U.P. 201001

Dear Sir,

Sub: Authorisation for Electronic Contract Notes

I/We have been/shall be dealing through you as my/our broker on the Capital & Commodities Market and/or Futures & Options and/or Currency Derivatives and or Interest Rate Futures Segments. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/dealings on my/our behalf as per instructions given below.

I/We understand that, I/We have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/We hereby opt to receive contract notes in electronic form. I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account /email id on your record for sending the contract notes to me/us:

Enter Email ID

I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account / email id.

I/We agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt/delayed receipt for any reason whatsoever.

I/We understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I/We am/are an internet client then in that event the request for change in email id/email account can be made by me/us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my/our verbal directions/authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

Thanking you

Yours faithfully

S11

Client Signature

MOBILE NUMBER DECLARATION

I _____ having PAN _____ do hereby declare that my mobile no. is _____. Further, I authorize Bansal Shares And Securities Pvt Ltd that the same may be used for giving me any information/ alert/SMS.

I further declare the above mentioned statement is true and correct.

Date: _____

S12

Client Signature

DEFAULTER DECLARATION

I _____ having PAN _____ do hereby declare that I have not been involved in any terrorist activities and I have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchange/ Regulatory bodies, etc.

I further declare that the above mentioned declaration/ statement are true and correct.

Date: _____

S13

Client Signature

AUTHORIZATION FOR ACCOUNT MODIFICATION

If I/we were to add/modify/remove any of my account details including bank a/c, brokerage plans with Bansal Shares And Securities Pvt Ltd, I/we authorize you to carry it out based on my request sent through an email to Support@bansalshares.com from my registered email address or intimation through an interface provided by you, where to I have been allowed secured access.

If you feel the need to do so, then at your own discretion, you may put in place appropriate mechanism to confirm the request before or after its execution by way of a call from a recorded line, or otherwise, personal meeting, SMS or other such other mode as you may deem fit.

Date: _____

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Client Signature

RUNNING ACCOUNT AUTHORIZATION

Date: _____

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

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise.
2. I/We request you to settle my fund account.
 - Once in a calendar Month ☐
 - Once in every calendar Quarter ☐
3. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges.
4. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds or statement of account or statement related to it, as the case may be at your registered office.
5. The running account authorization provided by me shall continue and remain valid until it is revoked by me anytime in writing.

Thanking you

Yours faithfully,

S15

Client Signature

To

Bansal Shares And Securities Pvt Ltd

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

Ghaziabad U.P. 201001

	Brief significance of the Document
	Rights and Obligations
	Risk Disclosure document (RDD)
	Guidance Note – do's and dont's
4.	Policy and Procedure
5.	Executed copy of KYC

I further state and confirm that I have read and understood all the clauses of aforesaid document.

I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of Bansal Shares And Securities Pvt Ltd

Yours faithfully,

S16

Client Signature

Name of the Applicant: _____

Date: _____

Checklist before submitting the Application Form CORPORATE ACCOUNT

- ☐ Copy of PAN Card of the company
- ☐ Copy of PAN Card / Passport / Voter ID / Driving License of director / authorized signatories
- ☐ Certified true copy of annual report for the last year.
- ☐ Proof of the Demat account.
- ☐ Verification / attestation of signature of the directors by the bank
- ☐ Copies of the balance sheet for the last 2 financial years (Copies of annual balance sheet to be submitted every year)
- ☐ Copies of the Memorandum & Articles of Association
- ☐ Photographs of whole time directors, individual promoters holding 5% or more, either directly or indirectly, in the shareholding of the company and of persons authorized to deal in securities on behalf of the company.
- ☐ Copy of latest share holding pattern including list of all those holding more than 5% in the share capital of the company, duly certified by the Company Secretary/Whole Time Director/ M.D. (Copy of updated shareholding pattern to be submitted every year)
- ☐ Copy of the Resolution of Board of Directors approving participation in equity / derivatives trading and authorizing persons for dealing in securities.
- ☐ Copy of Form No. 32 of the company.

Note:

1. Complete document to be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.
2. Trading in Currency Derivative allowed only to Resident Clients.

MCX OPTIONS ACTIVATION FORM

To,

Date:- _____

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

Client Name _____ PAN No. _____ / Client Code _____

I / we want to activate Option trading in Commodity account with Bansal Shares And Securities Pvt Ltd and aware about risks involved with option trading.

S17

Client's Signature

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.

(To be filled by financial institution) KYC Number

--	--	--	--	--	--	--	--	--	--

 (Mandatory for KYC update request)

☐ 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

☐ 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)	

3.1 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*									

[illegible]

Tel. (Off)			FAX		
Mobile			Email ID		
Mobile			Email ID		

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

[illegible][illegible]

Signature / Thumb Impression of Authorised Person(s)

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 Jurisdical 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 entitles, FORM 60 may be obtained if PAN is not available.

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

1. 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.
2. Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
3. Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
4. '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.
5. 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
6. 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

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

D Clarification / Guidelines for 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.

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

1. 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.
2. 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.
3. If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
4. 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.

List of two digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State/U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chhattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GO	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Entrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FJ	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Island	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Island	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Moyotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Morocco	MA	Swalbard and Jan Mayen	SI
Bermuda	BM	Grenada	GD	Mozambique	MZ	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Myanmar	MM	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Nauru	NR	Syrian Arab Republic	SY
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Nepal	NP	Taiwan province of china	TW
Bosnia and Herzegovina	BA	Guernsey	GG	Netherlands	NL	Tajikistan	TJ
Botswana	BW	Guinea	GN	New Caledonia	NC	Tanzania, United Republic of	TZ
Bouvet Island	BV	Guinea-Bissau	GW	New Zealand	NZ	Thailand	TH
Brazil	BR	Guyana	GY	Nicaragua	NI	Timor-Leste	TL
British Indian Ocean Territory	IO	Haiti	HT	Niger	NE	Togo	TG
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nigeria	NG	Tokelau	TK
Bulgaria	BG	Holy See (Vatican City State)	VA	Niue	NU	Tonga	TO
Burkina Faso	BF	Honduras	HN	Norfolk Island	NF	Trinidad and Tobago	TT
Burundi	BI	Hongkong	HK	Northern Mariana Islands	MP	Tunisia	TN
Cabo Verde	CV	Hungary	HU	Oman	OM	Turkey	TR
Cambodia	KH	Iceland	IS	Pakistan	PK	Turkmenistan	TM
Cameroon	CM	India	IN	Palau	PW	Turks and Caicos Islands	TC
Canada	CA	Indonesia	ID	Palestine, State of	PS	Tuvalu	TV
Cayman Islands	KY	Iran, Islamic Republic of	IR	Panama	PA	Uganda	UG
Central African Republic	CF	Iraq	IQ	Papua New Guinea	PG	Ukraine	UA
Chad	TD	Ireland	IE	Paraguay	PY	United Arab Emirates	AE
Chile	CL	Isle of Man	IM	Peru	PE	United Kingdom	GB
China	CN	Israel	IL	Philippines	PH	United States	US
Christmas Island	CX	Italy	IT	Pitcairn	PN	United States Minor Outlying Islands	UM
Cocos (Keeling) Islands	CC	Jamaica	JM	Poland	PL	Uruguay	UY
Colombia	CO	Japan	JP	Portugal	PT	Uzbekistan	UZ
Comoros	KM	Jersey	JE	Puerto Rico	PR	Vanuatu	VU
Congo	CG	Jordan	JO	Qatar	QA	Venezuela, Bolivarian Republic of	VE
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Reunion !Reunion	RE	Virgin Islands, British	VG
Cook Islands	CK	Kenya	KE	Romania	RO	Virgin Island, U.S.	VI
Costa Rica	CR	Kiribati	KI	Russian Federation	RU	Wallis and Futuna	WF
Cote d'Ivoire ICoted'Ivoire	CI	Korea, Democratic People's Republic of	KP	Rwanda	RW	Western Sahara	EH
Croatia	HR	Korea, Republic of	KR	Saint Barthelemy !Saint BartheJemy	BL	Yemen	YE
Cuba	CU	Kuwait	KW	Saint Helena, Ascension and Tristan da Cunha	SH	Zambia	ZM
Curacao ICuracao	CW	Kyrgyzstan	KG	Saint Kittsand Nevis	KN	Zimbabwe	ZW
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Lucia	LC		
Czech Republic	CZ	Latvia	LV	Saint Martin (French Part)	MF		
Denmark	DK	Lebanon	LB				
Djibouti	DJ	Lesotho	LS				
Dominica	DM	Liberia	LR				

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

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 ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ 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)

Prefix First Name Middle Name Last Name
 Name* (Same as ID proof)
 Maiden Name
 Father / Spouse Name
 Mother Name
 Date of Birth* DD - MM - YYYY
 Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender
 Nationality* ☐ IN- Indian ☐ Others (ISO 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 (anyone 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

☐ PHOTO*



Address

Line 1*
 Line 2
 Line 3
 District* Pin / Post Code* City / Town / Village* State / U.T Code* ISO 3166 Country Code*

1.3. CURRENT ADDRESS DETAILS (Please refer instruction E and 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 (anyone 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
 II ☐ Offline verification of Aadhaar
 IV ☐ Deemed PoA
 V ☐ Self Declaration

Address

Line 1*																																			
Line 2																																			
Line 3																																			
District*											Pin / Post Code*										State / U.T Code*					City / Town / Village*					ISO 3166 Country Code*				

1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction **D** at the end)

[illegible]

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/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date:

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 -

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 -

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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 VERIFICATION CARRIED OUT BY

[illegible]

INSTITUTION DETAILS

[illegible]

Bansal Shares And Securities Pvt Ltd

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

Tel. No. 8745094515 Email: Support@bansalshares.com

Website: bansalshares.com

F 1

Paste passport size
photograph of Karta
and cross sign over it

KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Non-Individuals)

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS

1	Name of the Applicant																																									
2	Date of incorporation		D	D	M	M	Y	Y	Y	Y	Place of incorporation																															
3	Date of commencement of business												D	D	M	M	Y	Y	Y	Y																						
4	a) PAN											b) Registration No. (e.g. CIN)																														
5	Status (please tick any one): <table border="0"> <tr> <td>☐ Private Limited Co.</td> <td>☐ Bank</td> <td>☐ Partnership</td> </tr> <tr> <td>☐ Public Ltd. Co.</td> <td>☐ Government Body</td> <td>☐ FI</td> </tr> <tr> <td>☐ Body Corporate</td> <td>☐ Non Government Organization</td> <td>☐ FII</td> </tr> <tr> <td>☐ Trust</td> <td>☐ Defense Establishment</td> <td>☐ HUF</td> </tr> <tr> <td>☐ Charities</td> <td>☐ Society</td> <td>☐ AOP</td> </tr> <tr> <td>☐ NGO's</td> <td>☐ LLP</td> <td>☐ BOI</td> </tr> <tr> <td colspan="3">☐ Others (please specify) _____</td> </tr> </table>																					☐ Private Limited Co.	☐ Bank	☐ Partnership	☐ Public Ltd. Co.	☐ Government Body	☐ FI	☐ Body Corporate	☐ Non Government Organization	☐ FII	☐ Trust	☐ Defense Establishment	☐ HUF	☐ Charities	☐ Society	☐ AOP	☐ NGO's	☐ LLP	☐ BOI	☐ Others (please specify) _____		
☐ Private Limited Co.	☐ Bank	☐ Partnership																																								
☐ Public Ltd. Co.	☐ Government Body	☐ FI																																								
☐ Body Corporate	☐ Non Government Organization	☐ FII																																								
☐ Trust	☐ Defense Establishment	☐ HUF																																								
☐ Charities	☐ Society	☐ AOP																																								
☐ NGO's	☐ LLP	☐ BOI																																								
☐ Others (please specify) _____																																										

B. ADDRESS DETAILS

1	Correspondence Address																			
		City/town/village						PIN Code												
		State						Country												
2	Specify the proof of address submitted for correspondence address																			
3	Contact Details	Tel. (Off.)								Tel. (Res.)										
		Fax No.								Mobile No.										
		Email ID																		
4	Registered Address (if different from above):																			
		City/town/village						PIN Code												
		State						Country												

F 2

Name & Signature of the Authorised Signatory(ies)

C. OTHER DETAILS

1	Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors:	If space is insufficient, enclose these details separately <i>[Illustrative format enclosed]</i>
2	DIN of whole time directors:	
3	Aadhaar number of Promoters/Partners/Karta	

D. DECLARATION

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.


Name & Signature of the Authorised Signatory(ies) _____

Date

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

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FOR OFFICE USE ONLY
☐ Originals verified and Self-Attested Documents copies received

**Name and Signature of the
Authorised Signatory**
Date

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

**Seal/Stamp of the
intermediary**

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

Sr. No.	Name	Relationship with Applicant (i.e. promoters, whole time directors etc.)	PAN	Residential / Registered Address	DIN of whole time directors /Aadhaar number of Promoters/Partners/Karta/co-parcener	Photograph
1						Paste passport size photograph of Karta and cross sign over it
2						
3						
4						
5						



Name & Signature of the Authorised Signatory(ies)

Date

D

D

M

M

Y

Y

Y

Y

Bansal Shares And Securities Pvt Ltd

Regd.Off.: 2-A,84 Nehru Nagar Ghaziabad U.P. 201001
Tel. No. 8745094515, Email: Support@bansalshares.com
Website: bansalshares.com

FORM 11

PART II – ACCOUNT OPENING FORM

(FOR NON-INDIVIDUALS)

DP –ID				Client –ID (To be filled by Participant)															
We request you to open a depository account in our name as per the following details: <i>(Please fill all the details in CAPITAL LETTERS only)</i>										Date	D	D	M	M	Y	Y	Y	Y	
A)	Details of Account holder(s):																		
	Name										PAN								
	Sole/ First Holder																		
	Second Holder																		
	Third Holder																		
B)	Type of account																		
	☐ Body Corporate ☐ FI ☐ FII ☐ Qualified Foreign Investor ☐ Mutual Fund ☐ Trust ☐ Bank ☐ CM ☐ HUF ☐ Other (Please specify) _____																		
C)	For Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., although the account is opened in the name of the partner(s), trustee(es) etc., the name & PAN of the Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., should be mentioned below:																		
	a) Name											b) PAN							
D)	Income Details (please specify)																		
	Income Range per annum										and	Networth							
	☐ Below ` 20 Lac											Amount (`) _____							
	☐ ` 20 – 50 Lac											As on (date) D D M M Y Y Y Y							
	☐ ` 50 Lac – 1 crore											(Networth should not be older than 1 year)							
	☐ Above ` 1 crore																		
E)	In case of FIIs/Others (as may be applicable)																		
	RBI Approval Reference Number																		
	RBI Approval date										D	D	M	M	Y	Y	Y	Y	
	SEBI Registration Number (for FIIs)																		
F)	Bank details																		
	1	Bank account type ☐ Savings Account ☐ Current Account ☐ Others (Please specify) _____																	
	2	Bank Account Number																	

	3	Bank Name										
	4	Branch Address										
			City/town/ village		PIN Code							
			State		Country							
	5	MICR Code										
	6	IFSC										
G)	Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:			☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)								
H)	Clearing Member Details (to be filled up by Clearing Members only)											
	1	Name of Stock Exchange										
	2	Name of Clearing Corporation/ Clearing House										
	3	Clearing Member ID										
	4	SEBI Registration Number										
	5	Trade Name										
	6	CM-BP-ID (to be filled up by Participant)										
I)	Standing Instructions											
	1	We authorise you to receive credits automatically into our account.							☐ Yes ☐ No			
	2	Account to be operated through Power of Attorney (PoA)							☐ Yes ☐ No			
	3	SMS Alert facility										
		Sr. No.	Holder	Yes	No							
		1	Sole/First Holder	☐	☐							
		2	Second Holder	☐	☐							
		3	Third Holder	☐	☐							
	4	Mode of receiving Statement of Account [Tick any one]		☐ Physical Form ☐ Electronic Form [Read Note 3 and ensure that email ID is provided in KYC Application Form].								
J)	List of family members (Separate Annexure maybe used in case number of members is higher)											
	Sr No.	Name of Coparcener/Member	Gender	Date of Birth	Relation with Karta	Whether Coparcener/Member (please specify)						

Declaration

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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 that we may be held liable for it. I/we acknowledge the receipt of copy of the document, “Rights and Obligations of the Beneficial Owner and Depository Participant”.

Authorised Signatories (Enclose a Board Resolution for Authorised Signatories. In case of HUF details of Karta to be given)

Sole/First Holder	Name	Signature(s)
First Signatory/Karta of HUF		
Second Signatory		
Third Signatory		
Other Holders		
Second Holder		
Third Holder		

Mode of Operation for Sole/First Holder (In case of joint holdings, all the holders must sign. In case of HUF this is not applicable)

☐ Any one singly	
☐ Jointly by	
☐ As per resolution	
☐ Others (please specify)	

Notes:

- In case of additional signatures, separate annexures should be attached to the application form.
- 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.
- Strike off whichever is not applicable.

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Acknowledgement

Bansal Shares And Securities Pvt Ltd

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

Tel. No. 8745094515, Email: Support@bansalshares.com

Website: bansalshares.com

Received the application from M/s _____ as the sole/first holder alongwith _____ and _____ as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you (CM-BP-ID in case of Clearing Members) in all your future correspondence.

Date:

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

Participant Stamp & Signature

Rights and Obligations of the Beneficial Owner and Depository Participant

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

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

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

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

Liability of the Depository

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

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

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

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI.
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.
32. Clients can freeze/block the online access of the trading platforms in case any suspicious activities are noticed by calling at 8745094515 or mail us at Support@bansalshares.com

F 6(1st Signatory)**B 2**(2nd Signatory)**G 2**(3rd Signatory)

CLIENT ID: _____

E-Mail Statement	Period Bills and Transaction statement and other communication will be sent by email only. Terms and Condition for the same to be mandatorily executed. Request for physical statement will be charged Rs 100 for Courier & Printing/Stationery Charges.
Cheque Bounce Charges	Charges will be applied based on charges as determined by our bankers

Other Points:

1. All charges would attract the GST/levies and / or other such taxes as applicable from time to time.
2. All payments have to be made favouring Bansal Shares And Securities Pvt Ltd You can pay by Cheques or Demand Draft payable at the local branch where the account is opened. Outstation cheques will not be accepted. Or else you can also avail facility of ECS or choose to pay online.
3. All the percentages in the above structure would be applied on the value of the transaction as computed by the depository.
4. Out of Pocket expenses uncured on the Dispatch of securities for Dematerialisation and communication charges incurred on out-station calls/faxes made specifically on request of the client will be charged on actual.
5. Charges quoted above are for the service listed. Any service not listed above will be charged separately.
6. Any advance payments over and above the normal amount due can also be made. Any such higher amount paid than the minimum amount payable at the time of account opening shall be adjusted against the bills raised from time to time.

Important Note:

1. DP bills should be paid on or before the due date. Interest shall be levied @ 18% per annum on outstanding amount for non-payment from bill due date. Pursuant to Clause 19 of rights and obligation, in case of non-payment of DP charges within the due date, DP reserves the right to discontinue operation of the demat account till such time that the payment is received.
2. For all purpose the Bill date shall be constructed as the date of demand and the bill will be considered as the **Bill cum Notice** for payment and, Bansal Shares And Securities Pvt Ltd reserves the right to "freeze depository account for debit transactions", in case of nonpayment of charges after two days from the Bill due date.
3. The renewal charges for resuming the depository operations will be Rs.150 per Account and the service will be resumed in minimum of two working days from the date of receipt of request at Bansal Shares And Securities Pvt Ltd
4. I / We understand that the above charges are subject to revision by Bansal Shares And Securities Pvt Ltd After providing a notice period of 30 days. Such revision will be notified by ordinary post/courier.

F 8

(Sole/First Holder's Sign.)

B 4

(Second Holder's Sign.)

C 4

(Third's Sign.)

VOLUNTARY

Authorization to debit Demat account operating charges

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

Dear Sir,

Sub: Authorisation for debit the Demat Account Charges

Ref: Client ID: _____

I/We have opened/have a NSDL beneficiary account with Bansal Shares And Securities Pvt Ltd depository participant, along with Bansal trading account for investment and trading purposes.

I/We, hereby authorize Bansal Shares And Securities Pvt Ltd, to debit from my trading account, the charges payable towards AMS, Transactions Charges & applicable statutory levies, levied by Bansal Shares And Securities Pvt Ltd , in the above said demat account.

I/We are aware of the charges for operating the said demat account with Bansal Shares And Securities Pvt Ltd. Any such sum debited to my trading account shall be binding on , me/us.

Thanking you,

Yours truly,

F 9

(Sole/First Holder`s Sign.)

B 5

(Second Holder`s Sign.)

C 5

(Third`s Sign.)

**Bansal Shares And Securities Pvt Ltd****FATCA SELF CERTIFICATION FORM**

For Non-Individual Applicants / Investors

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

DP ID	
Client ID	
Date	d d m m y y y y
Place	

Name of the entity**Type of address given at KRA**☐ Residential or Business☐ Residential☐ Business☐ Registered Office**PAN****Date of incorporation**

D D / M M / Y Y Y Y

City of incorporation**Country of incorporation****ADDITIONAL KYC INFORMATION****Gross Annual Income(Rs.)(Please tick())**☐ Below 1 Lac☐ 1 - 5 Lacs☐ 5 - 10 Lacs☐ 10 - 25 Lacs☐ >25 Lacs - 1 Crore☐ >1 Crore

OR

Net-worth

Rs.

as on

DD

MM

YYYY

(Not older than 1 year)

Politically Exposed Person (PEP) Status* (Also applicable for authorised signatories/Promoters/Karta/Trustee/Whole time Directors)

*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.

Non-Individual Investors involved/providing any of the mentioned services☐ Foreign Exchange / Money Changer Services☐ Gaming / Gambling / Lottery / Casino Services☐ Money Lending / Pawning☐ None of the above**FATCA & CRS Declaration****Please tick the applicable tax resident declaration-**

1. Is "Entity" a tax resident of any country other than India

☐ Yes☐ No

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

Sr. No.**Country****Tax Identification Number*****Identification Type
(TIN or Other*, please specify)**

1.

2.

3.

* In case Tax identification Number is not available, kindly provide its functional equivalent.

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation/Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here**PART A (to be filled by Financial Institutions or Direct Reporting NFEs)**

1.

We are a,
Financial institution☐

(Refer 1 of Part C)

or

Direct reporting NFE

☐

(Refer 3(vii) of Part C)

(please tick as appropriate)

GIIN

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

Name of sponsoring entity

GIIN not available (please tick as applicable)

☐ Applied for☐ Not obtained - Non-participating FI☐ Not required to apply for - please specify 2 digits sub-category (Refer 1 A of Part C)**PART B (Please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")**

1.

Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)

Yes

☐ (If yes, please specify any one stock exchange on which the stock is regularly traded)

Name of stock exchange

2.

Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)

Yes

☐ (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)

Name of listed company

Nature of relation:

☐ Subsidiary of the Listed Company or☐ Controlled by a Listed Company

Name of stock exchange

3.

Is the Entity an active NFE (Refer 2c of Part C)

Yes

Nature of Business

Please specify the sub-category of Active NFE

☐

(Mention code - refer 2c of Part C)

4.

Is the Entity a passive NFE (Refer 3(ii) of Part C)

Yes

Nature of Business

UBO Declaration(Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)

Category (Please tick applicable category):

☐ Unlisted Company☐ Partnership Firm☐ Limited Liability Partnership Company☐ Unincorporated association / body of individuals☐ Public Charitable Trust☐ Religious Trust☐ Private Trust☐ Others (please specify _____)

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN			
Address	Zip State: _____ Country: _____	Zip State: _____ Country: _____	Zip State: _____ Country: _____
Address Type	☐ Residence ☐ Business ☐ Registered office	☐ Residence ☐ Business ☐ Registered office	☐ Residence ☐ Business ☐ Registered office
Tax ID ^s			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	☐ Service ☐ Business ☐ Others _____	☐ Service ☐ Business ☐ Others _____	☐ Service ☐ Business ☐ Others _____
Nationality			
Father's Name			
Gender	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) ^s			

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

^sIn case Tax Identification Number is not available, kindly provide functional equivalent

^sAttach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

FATCA - CRS Terms & Conditions

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank/Depository Participant/ Custodian 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. It is important that you respond to our request, even if you believe you have already supplied any previously requested information.

Please note that you may receive more than one request for information if you have multiple relationships with us or our group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

If you have any question about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the 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.

Certification

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same. I/We hereby authorize sharing of the information furnished in this form with all SEBI Registered Intermediaries and they can rely on the same. In case the above information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit. I/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.

Name		Designation	
 Signature	 Signature	 Signature	



FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATES

(This is required to be submitted on the Company's Letterhead.)

FOR DEMAT & TRADING ACCOUNT OPENING

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF M/s. XYZ LTD..... HELD ON. ... May, 2018 AT THE REGISTERED OFFICE OF THE COMPANY AT:

“Resolved that a Corporate Beneficiary Demat Account & Trading Account be opened with **Bansal Shares And Securities Pvt Ltd** (DP)/ Member of NSE & BSE having REGISTERED OFFICE OF THE COMPANY AT: **2-A,84 Nehru Nagar Ghaziabad U.P. 201001**

“Resolved further that **Mr. /Mrs.** and **Mr. /Mrs.....** be and are hereby authorized to sign severally, execute instructions , submit all the necessary papers, letters, forms and other documents in connection with **Opening and operating the Demat Account & Trading Account** with **Bansal Shares And Securities Pvt Ltd** (NSDL DP, Member of National Stock exchanges & Bombay Stock exchanges) to carry out trading/dealing and investment activities is Securities.”

“Resolved further that, a copy of the above resolution duly certified as true by designated director / authorised signatory of the company be furnished **Bansal Shares And Securities Pvt Ltd** (NSDL DP/ Member of NSE & BSE) and such other parties as may be required from time to time in connection with the above matter. “

The acts done and documents shall be binding on the company, until the same is withdrawn by giving written notice thereof.

Certified true copy

For **XYZ LTD.**

For **XYZ LTD.**

(DIRECTOR)

(DIRECTOR)

Specimen Signature of

Mr. _____

Mr. _____

Attested by
Director

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

Ghaziabad U.P. 201001

Annexure-A

**Demat Debit and Pledge
Instruction**

S. No	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	Sole/ First Holder F11 Second Holder B 7 Third Holder C 7
2.	Pledging / re-pledging of securities in favor 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.	Sole/ First Holder F12 Second Holder B 8 Third Holder C 8
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	Sole/ First Holder F13 Second Holder B 9 Third Holder C 9
4.	Tendering shares in open offers through Stock Exchange platforms	Sole/ First Holder F14 Second Holder B10 Third Holder C10

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number.

Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.

2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker’s Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

B15

(Sole/First Holder’s Sign.)

B11

(Second Holder’s Sign.)

C11

(Third Holder’s Sign.)