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COMPANY DETAILS

- | | | | |
|-----|--|---|---|
| 1. | CIN No. | : | U51109RJ2006PTC022353 |
| 2. | SEBI Reg. No. (Stock Brokers) | : | INZ000077535 |
| 3. | SEBI Reg. No.
(Depositories Participants) | : | IN-DP-422-2019 |
| 4. | NCDEX Membership No. | : | NCDEX/CO/9/00951 |
| 5. | BSE CMID | : | 6723 |
| 6. | NSE | : | 90202 |
| 7. | MCX | : | 56895 |
| 8. | CDSL DP ID | : | 12089200 |
| 9. | Name of Member | : | Shree Balaji Multicommodities Private Limited |
| 10. | Registered Address/ | : | Office No. 724/725, 7 th Floor,
Sun N Moon Chamber, Near Ajmer Pulia,
Jaipur (Raj.)-302006 |
| 10. | Telephone | : | 9358000981 |
| 11. | Mobile | : | 9358000984 |
| 12. | Compliance Officer | : | Mr. Gaurav Kumar Mishra |
| 13. | Email | : | gauravmishra@sbmcppl.co.in |
| 14. | Website | : | www.sbmcppl.co.in |

For any grievance/dispute please contact Shree Balaji Multicommodities Private Limited at our registered address or email grievance@sbmcppl.co.in and phone no. 9358000981. In case not satisfied with the response, please contact the MCX at grievance@mcxindia.com and phone no. 91+022-67318888 and NCDEX at askus@ncdex.com and phone no. 91+22-664067789, BSE at is@bseindia.com, NSE at ignse@nse.co.in, CDSL at complaints@cdslindia.com, SEBI at <http://scores.gov.in> or please contact SEBI office on Toll Free Helpline at 1800227575/18002667575.

ACKNOWLEDGEMENT

To,
Shree Balaji Multicommodities Private Limited
Regd. Off: Office No. 724/725, 7th Floor,
Sun N Moon Chamber, Near Ajmer Pulia,
Jaipur (Raj.)-302006
Dear Sir/Madam,

I undersigned, hereby confirm that I have received the duly executed copy of KYC form, Right & Obligations, Guidance Note, Policies and Procedure, Tariff Sheet, Risk Disclosure Document and Right & Obligations (DP), MITC and all other documents as executed by me.

I acknowledge that the detail related to my account are as under :

Client Name	
Trading Code	
DP BO ID	
E-mail id	
Mobile	
AOF version	24.3

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature of Client			

Know Your Client (KYC)**Application Form (For Non- Individuals Only)**

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

**CDSL VENTURES LIMITED**

....Exploring New Horizons

**SBJ MULTICOM**

Application Number: _____

Application Type*: ☐ New KYC ☐ Modification KYC**1. Entity Details** (please refer guidelines)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Date of Incorporation* _____ Place of Incorporation* _____

Date of Commencement* _____ Registration Number* _____

- Entity Type* ☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership
- Please Tick (✓) ☐ Trust/Charity/NGO ☐ HUF ☐ FPI Category I ☐ FPI Category II
- ☐ AOP ☐ Bank ☐ Government Body ☐ Defence Establishment
- ☐ Body of Individual ☐ Society ☐ LLP
- ☐ Non-Government Organization
- ☐ Others _____

2. Proof of Identity* (Please refer the guidelines)

- ☐ Officially Valid Document(s) in respect of person authorized to transact
- ☐ Certificate of Incorporation/Formation _____ ☐ Registration Certificate _____
- ☐ Memorandum of Articles and Association ☐ Partnership Deed ☐ Trust Deed
- ☐ Board Resolution ☐ Power of attorney granted to its manager, office, employees to transact on its behalf
- ☐ Activity Proof – 1+ (For Sole Proprietorship Only) ☐ Activity Proof – 2+ (For Sole Proprietorship Only)

3. Address Details* (please refer guidelines)**A. Registered Address***

Line 1* _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

B. Correspondence/Local Address*

Line 1* _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Applicant Digital Signature (DSC)

Proof of Address* (attested copy of any one POA to be submitted - #Not more than 3 months old)

- ☐ Certificate of Incorporation/Formation
 ☐ Registration Certificate
 ☐ Other document _____
- ☐ Latest Telephone Bill# (Landline Only)
 ☐ Latest Electricity Bill#
 ☐ Latest Bank Account Statement#
- ☐ Registered Lease/Sale Agreement of Office Premises
 Validity/Expiry Date of POA (Expiry Date) _____
- ☐ Any other proof of address document (as listed overleaf) _____

4. Contact Details

Email ID _____ Mobile No. _____

Email ID _____ Mobile No. _____

Tel (Off) _____ Fax _____

5. Annexure Submitted

Number of Related Person -

6. Remarks / Additional Information**7. Applicant Declaration**

I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/We may be held liable for it.

I/we hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

Date: _____ (DD-MM-YYYY)

Place: _____

Applicant Digital Signature (DSC)

Applicant Wet Signature

8. For Office Use Only**KYC Carried out by***

KYC Date _____

Emp. Name _____

Emp. Code _____

Emp. Designation _____

Intermediately Details*

☐ Self certified document copies received (Original Verified)

☐ True Copies of documents received (Attested)

AMC/Intermediary Name or Code:

Employee Signature and Stamp

Institution Name and Stamp

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

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

**CDSL VENTURES LIMITED**

....Exploring New Horizons

**SBJ MULTICOM**

Application Number: _____

Application Type*: ☐ New KYC ☐ Modification KYC**1. Identity Details of Related Person** (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Maiden Name* (if any) _____

Fathers/Spouse's Name* _____

Date of Birth* _____

Gender * ☐ Male ☐ Female ☐ TransgenderNationality* ☐ Indian ☐ Other _____

Related Person Type*

☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointed Official Proprietor☐ Beneficiary ☐ Authorized Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder☐ Others _____ (Please specify) DIN: _____ (mandatory if the related person is Director)

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

☐ A—Aadhaar Card XXXX XXXX _ _ _ _☐ B—Passport Number _____ (Expiry Date) _____☐ C—Voter ID Card _____☐ D—Driving License _____ (Expiry Date) _☐ E—NREGA Job Card _____☐ F—NPR _____☐ Z—Others _____ (any document notified by Central Government)

Identification Number _____

Applicant
Photo**2. Address Details*** (please refer guidelines overleaf)**A. Correspondence/Local Address***

Line 1* _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Applicant e-SIGN

B. Permanent residence address of applicant, if different from above A / Overseas Address*(Mandatory for NRI Applicant)

Line 1* _____
Line 2 _____
Line 3 _____
City/Town/Village* _____ District* _____ Pin Code* _____
State* _____ Country* _____
Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* (Attested copy of any 1 POA for correspondence and permanent address each to be submitted)

- ☐ A—Aadhaar Card XXXX XXXX _ _ _ _
☐ B—Passport Number _____ (Expiry Date) _____
☐ C—Voter ID Card _____
☐ D—Driving License _____ (Expiry Date) _
☐ E—NREGA Job Card _____
☐ F—NPR _____
☐ Z—Others _____ (any document notified by Central Government)
Identification Number _____

3. Contact Details

Email ID* _____
Mobile No.* _____
Tel (Off) _____ Tel (Res) _____

4. Applicant Declaration

I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/We may be held liable for it. I/we hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

Date: _____ (DD-MM-YYYY)

Place: _____

Applicant e-SIGN

Applicant Wet Signature

5. For Office Use Only**KYC Carried out by***

KYC Date _____
Emp. Name _____
Emp. Code _____
Emp. Designation _____

Intermediately Details*

- ☐ Self certified document copies received (OVD)
☐ True Copies of documents received (Attested)

Employee Signature and Stamp

Institution Name and Stamp

Instructions / Guidelines for filling Non-Individual KYC Application Form

A. General Instructions:

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 below list 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 addresses are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/ OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in 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., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

B. Proof of Identity (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government 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):

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.
3. Identity card with applicant's photograph and address issued by any of the following: Central/ State Government 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.
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. Proof of address in name of spouse may be accepted.
6. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax.
7. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card.

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

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

E. List of People Authorized to attest the documents:

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. 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. Online Mode Processing of KYC:

1. ONLINE KYC
 - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
 - The documents should be digitally signed using DSC.
 - Intermediary attestation on documents (OSV) is exempted.

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Type of Entity	Additional Documents Required over and above PAN, POI and POA
Corporate	• Copy of Balance Sheet for the last to financial years (to be submitted every year). • Copy of latest share-holding pattern including the list of all those holding control, either directly or indirectly , in the company in terms of SEBI takeover regulations, duly certified by the company secretary/ whole time director/ MD (to be submitter every year). • Photograph, POI, POA, PAN and DIN number of the whole time Director/ 2 directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control-either directly or indirectly. • Copy of Memorandum and Articles of Association and Certificate of Incorporation. • Copy of Board Resolution for Investment in security markets. • Authorized signatories list with specimen signatures. • Shareholding pattern.
Partnership Firm	• Copy of Balance Sheet for the last to financial years (to be submitted every year). • Certificate of Registration (for registered partnership firms only). • Copy of Partnership Deed. • Authorized signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners. • Shareholding pattern.
Trust	• Copy of Balance Sheet for the last to financial years (to be submitted every year). • Certificate of Registration (for registered Trusts only). • Copy of Trust Deed. • List of Trustees certified by Managing Trustees/ CA • Photograph, POI, POA, PAN of Trutees.
HUF	• PAN of HUF. • Deed of Declaration of HUF or List of Co-Parceners. • Bank Passbook / Bank statement in the name of HUF. • Photograph, POI, POA, PAN of KARTA.
Banks/Institutional Investors	• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years • Authorized signatories list with specimen signatures.
Unincorporated Association or a Body of Individuals	• Proof of existence or Constitution document. • Resolution of Managing Body and power od Attorney granted to transact business on its behalf.
Army/Government Bodies	• Copy of Constitution/Registration or Annual report/Balance Sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Army/Government Bodyes	• Self certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	• Copy of Registration Certificate under Society Registration Act. • List of managing committee members. • Committee Resolution for persons authorized to act as authorised signatories with specimen signatures. • True copy of society rules and by-laws certified by Chairman/Secretary
FPI Category I	• FPI Certificate • Constitution Documents • Copy of Board Resolution (optional) • Shareholding pattern and Ultimate Beneficiary Owners List (UBO) • Authorized signatories list with specimen signatures.
FPI Category II	• FPI Certificate • Constitution Documents • Copy of Board Resolution • Shareholding pattern and Ultimate Beneficiary Owners List (UBO) with UBO proof of identity • Authorized signatories list with specimen signatures.

Important Instructions:

- A) Field 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* ☐ (Please refer instruction B at the end)

Date of Incorporation/Formation* --

Date of Commencement of Business --

Place of Incorporation/Formation*

Country of Incorporation/Formation TIN or Equivalent Issuing Country

PAN ☐ Form 60 furnished

TIN/GST Registration Number

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

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

☐ Certificate of Incorporation/Formation ☐ Registration Certificate

☐ 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 City/Town./Village

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

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

Line 1*

Line 2

Line 3 City/Town./Village

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

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

Tel. (Off) - FAX -

Mobile - Email ID

Mobile - Email ID

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

[illegible]

- 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 SME/Email on the above registered number/email address.

Signature/Thumb Impression of Authorized Person(s)

Documents Received ☐ Certified Copies ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
---------------------------------	---------------------

[Employee Signature]

A. Clarification / Guidelines for filling 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 Consulator 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 Person (AOP)/Body of Individual (BOI)	N – Section 8 Companies (Companies Act, 2013)	

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

B. Clarification / Guidelines for filling 'Proof of Identity [PoI]' 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 at 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 be mandatory for Overseas addresses
2. Certified copy of document of equivalent e-document to be submitted.

D. Clarification / Guidelines for filling 'Contract 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 PoI does not have an address or address as per PoI 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.

Annexure A2 | Legal Entity / Other than Individual**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual****Important Instructions:**

- A) Field 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**

(To be filled by financial institution)

Application Type* ☐ New ☐ Update ☐ DeleteKYC Number (Mandatory for KYC update and delete request)

Account Type*

☐ Normal ☐ Minor ☐ Aadhaar OTP based E-KYC (in non-face to face mode)**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 ☐ Authorized 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 digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A - Passport Number
☐ B - Voter ID Card
☐ C - Driving License
☐ D - NREGA Job Card
☐ E - National Population Register Letter
☐ F - Proof of Possession of Aadhaar

☐ PHOTO*II. ☐ E - KYC Authentication III. ☐ Offline verification of Aadhar **Address**

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

1.3 CURRENT ADDRESS DETAILS (Please refer instruction E at the end)☐ Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A - Passport Number
☐ B - Voter ID Card
☐ C - Driving License
☐ D - NREGA Job Card
☐ E - National Population Register Letter
☐ F - Proof of Possession of Aadhaar

II. ☐ E - KYC Authentication III. ☐ Offline verification of Aadhar IV. ☐ Deemed PoAV. ☐ Self Declaration

Address

Line 1*

Line 2

Line 3 City/Town./Village

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

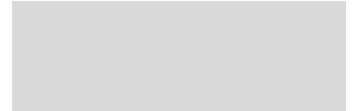
1.4 CONTACT DETAILS (All communications will be sent on provided mobile no. / Email-ID) (Please refer instruction D at the end)

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 SME/Email on the above registered number/email address.



Signature/Thumb Impression of Applicant

Date: - - Place:

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**INSTITUTION DETAILS**

Date - -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

Name

Code

[Employee Signature]

[Institution Stamp]

OTHER DETAILS

BANK ACCOUNTS (S) DETAILS		
Bank Name		
Branch Name		
Branch Address		
Bank A/c No.		
A/c Type	☐ Saving ☐ Current Others _____ Penny Drop Verified ☐ Yes ☐ No	
MICR Number		IFSC Code
Proof of Bank Submitted	☐ Bank Statement ☐ Bank Passbook ☐ Cancelled Cheque leaf	

Note: 1. Bank statement should be original and of latest quarter. It should have Bank Manager's Stamp & Sign, if original stationary is not available. 2. Bank Passbook should have Bank Manager's Stamp & Sign if it is hand written.

[illegible]

Note: 1. Client name & DP A/c No. on the proof of DP submitted should match with that mentioned in the account opening form.
2. DP statement should clearly show DP ID & Client ID.

TRADING PREFERENCE FORM

I wish to add/activate the following segments to my trading preferences.

[illegible]

ADDITIONAL DETAILS	
Facilities for Trading	Whether you wish to avail the facility of ☐ Internet Trading ☐ Wireless technology (Mobile)
Contract note and Standard Document:	Whether you wish ☐ in Electronic Form (Email ID same as mentioned on KRA Page) to receive ☐ in Physical Form
Educational Qualification	☐ Under Graduate ☐ Graduate ☐ Post Graduate ☐ Professional
Investment/Trading Experience	☐ Years in Stocks ☐ Years in Derivatives ☐ No Prior Experience
Primary Purpose of dealing	In Equities: ☐ Intraday ☐ Positional ☐ Investment In Derivatives: ☐ Trading ☐ Hedging
Any other information	

GST DETAILS	
GST Number	
GST Implementation Location	

PAST ACTION
Details of any action/proceeding initiated/pending/taken by SEBI/Stock exchange/any other authority against the applicant/constituents or its Partners/promoters/whole time director/authorized person in charge of dealing in securities during the last 3 years.

DEALING THROUGH OTHER STOCK BROKERS	
If you are dealing with any other stock broker/Sub broker/Authorized Person, provide the following details: (in case dealing with multiple stock brokers/Sub broker/Authorized Person, provide details of all)	
Name of Stock Broker	Client Code
Name of Sub Broker/	Exchange
Authorized Person	Details of disputes/dues pending from/to such stock broker/sub broker/Authorized Person

INTRODUCER DETAILS	
Name of the Introducer	
Introducer Code	
Address & Phone No.	
Status of the Introducer	☐ Sub-Broker ☐ Remisier ☐ Authorize Person ☐ Existing Client ☐ Others
Signature of the Introducer	

SALES TAX REGISTRATION DETAILS (As applicable, Statewise)			
	Registration No.	Validity Date	Name of the State (Please give details of all states where you are registered)
Local Sales Tax			
Central Sales Tax			
Other Sales Tax			

VAT DETAILS (As applicable, Statewise)			
	Registration No.	Validity Date	Name of the State (Please give details of all states where you are registered)
Local Vat			
Central Vat			

1. I/We 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.
2. I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non-mandatory documents, policies and procedures.
3. I/We further confirm having read and understood the contents of the 'Right and Obligations' document(s) and 'Risk Disclosure Document' and 'Do's and 'Don't'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for information on Member's designated website.
4. I/We 'Don't' want to continue my account in BSDA Scheme. ☐ Yes / Tick here



Signature of Client



Place : _____

Date : _____

CONSENT FOR AADHAR NUMBER

Request for Aadhar Updation- YES ☐ NO ☐

I/We wish to link my/our Aadhar No. _____ and I/We have no objection in authenticating the same with Aadhar based authentication system via OTP/Biometric/demographic information. In case of authentication failure with UIDAI records. I/we understand that my/our Aadhar No. will not be updated in the Shree Balaji Multicommodities Private Limited records.

Consent to share Aadhar Details- YES ☐ NO ☐

I/we hereby give my/our consent to Shree Balaji Multicommodities Private Limited to update and share my Aadhar number and related details obtained from UIDAI through authentication using OTP/Biometric/Demographic information on my behalf with my third party entities like Exchanges, Depositories, KRA, CERSAI, AMC's, PMS, Mutual Funds, Insurer's or any other institution that may be formed in future, or any of its associated or group company etc. where there is a requirement of uploading/ updating/modifying the Aadhar no. in case of any investment or purchase of any product/services from such entities made through Shree Balaji Multicommodities Private Limited or in case there is a regulatory requirement for the same or in any other case what so ever.

Also, I/we hereby give my/our consent to Shree Balaji Multicommodities Private Limited to share my Aadhar number and related details obtained from KRA, CERSAI as part of fetching process etc. or any other institution that may be formed in future, or any of its associated or group company etc. with any third party entities like Exchanges, Depositories, KRA, CERSAI, AMC'S, PMS, MutualFunds, insurer's or any other institution that may be formed in future, or any of its associated or group company etc. where there is requirement of uploading/updating/modifying that Aadhar No. in case of any investment or purchase of any product/services from such entities made through Shree Balaji Multicommodities Private Limited or in case there is a regulatory requirement for that same or in any other case what so ever.

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature of Client			

FOR OFFICE USE ONLY

UCC Code Allotted to the Client _____

	Document Verified with Originals
Name of the Employee	
Employee Code	
Designation of the Employee	
Date	
Signature	

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

Date: _____

Signature & Seal

ADDITIONAL KYC FORM FOR OPENING DEMAT ACCOUNT

(To be filled by the Depository Participant)

Application No.		Date							
-----------------	--	------	--	--	--	--	--	--	--

DP Internal Reference No.

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

(To be filled by the applicant in BLOCK LETTER in English)

I/we request you to open a Demat Account in my/our names as per the following details:

HOLDER'S DETAILS

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

*Exchange ID

Name* _____

* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust etc., although the account is opened in the name of the natural persons, the name of the firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

TYPE OF ACCOUNT (Please tick whichever is applicable)

Status	Sub-Status
☐ Body Corporate ☐ Banks ☐ Trust ☐ Mutual Fund ☐ OCB ☐ FII ☐ CM ☐ FI ☐ Clearing House ☐ Other (Specify) _____	To be filled by the DP
SEBI Registration No. (If Applicable)	SEBI Registration Date
RBI Registration No. (If Applicable)	RBI Approval Date
Nationality	☐ Indian ☐ Others (Specify) _____

I/We instruct the DP to receive each and every credit in my/our account (If not marked, the default option would be 'Yes')	[Automatic Credit] ☐ Yes ☐ No
I/We would like to instruct the DP to accept all the pledge instruction in my/our account without any other further instruction from my/our end (if not marked, the default option be 'No')	☐ Yes ☐ No
Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	☐ Yes ☐ No
I/We would like to share the email ID with the RTA	☐ Yes ☐ No
I/we would like to receive the Annual Report ☐ Physical ☐ Electronic ☐ Both Physical & Electronic (Tick the applicable box, If not marked the default option would be in Physical)	

Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange	
Name of CC/CH	
Client Member ID	Trading Member ID

I/We wish to receive dividend/interest directly in to my bank account given below through ECS (if not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	☐ Yes ☐ No
--	--

BANK DETAILS [DIVIDEND BANK DETAILS]											
Bank Code (9 digit MICR code)											
IFSC Code (11 Character)											
Account No.											
Account Type			☐ Saving ☐ Current Other (specify) _____								
Bank Name											
Branch Name											
Bank Branch Address											
City		State		Country		PIN Code					

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

Other Details- Gross Annual Income Details	Income Range per annum:											
	☐ Up to Rs. 1,00,000	☐ Rs. 1,00,000 to Rs. 5,00,000										
	☐ Rs. 5,00,000 to 10,00,000	☐ Rs. 10,00,000 to Rs. 25,00,000										
	☐ More than Rs. 25,00,000											
	Net worth Rs. as on (Date) Rs.											
	[Net worth should not be older than 1 year]											
Occupation	☐ Private/Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculture ☐ Retired ☐ Housewife ☐ Student ☐ Other Specify											
Please tick, if applicable	☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP) ☐ Not Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (PEP)											
Any other Information:												
SMS Alert Facility Refer to Terms & Conditions given as Annexure 2.4	MOBILE NO. +91 [Mandatory, if you are giving Power of Attorney (POA)] (If POA is not granted & you do not wish to avail to this facility, cancel this option)											
Transaction Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. ☐ Yes ☐ No I/we wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" style="width: 100%;"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>			Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)										
Easi	To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.											

CAS Facility – CAS (CONSOLIDATED ACCOUNT STATEMENT) is available

- I/we wish to opt CAS Facility
- I/we do not wish to opt CAS Facility

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature of Client			

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

	Sole / First Authorized Signatory	Second Authorized Signatory	Third Authorized Signatory
Name			
Designation			
Signature of Client			

(In case of more authorized signatories, please add annexure)

OPTION FOR ISSUE OF DIS BOOKLET

I/We hereby state that

☐ **Option 1:** I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account through I/we have issued a Power of Attorney (POA)/executed PMS Agreement in favour of/with _____ (name of the Attorney/Clearing Member/PMS Manager) for executing delivery instruction for setting stock exchange trades (settlement related transactions) effected through such Clearing Member/by PMS Manager.

OR

☐ **Option 2:** I/We do not require the Delivery Instruction Slips (DIS) for the time being, since I/We have issued a POA/executed PMS agreement in favour of/with _____ (name of the attorney/Clearing Member/PMS Manager) for executing delivery instructions for setting stock exchange trade (settlement related transaction) effected through such Clearing Member/by PMS Manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature of Client			

	FACTA, CRS & ULTIMATE BENEFICIAL OWNERSHIP (UBO) SELF CERTIFICATION FORM FOR NON-INDIVIDUALS (Please consult your professional tax advisor for further guidance on FACTA & CRS classification)
Name of the entity	
Type of address given at KRA	☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office
PAN	
Date of Incorporation	
City of incorporation	
Country of incorporation	

Net Worth in INR in Lakhs	Rs. Net Worth as on (DD/MM/YYYY) (Date should not be older than one year)
Gross Annual Income (INR)	☐ < 1 Lakh ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ 25 Lacs-1 Cr ☐ > 1 Cr
Is the entity involved in/ providing any of these services	Foreign Exchange/Money Changer Service ☐ Yes ☐ No Gaming/Gambling/Lottery Services (e.g. casinos, betting syndicates) ☐ Yes ☐ No Money Laundering/Pawning ☐ Yes ☐ No. (Any other information [if applicable])
Entity Constitution Type Please tick as appropriate	☐ Partnership Firm ☐ HUF ☐ Private Limited Company ☐ Public Limited Company ☐ Society ☐ Trust ☐ Liquidator ☐ Limited Liability Partnership ☐ Artificial Juridical Person ☐ AOP/BOI ☐ Others specify

FACTA & 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 or Company Identification Number or Global Entity Identification Number.			
In case the Entity's Country of Incorporation / Tax residence is U.S. (United States) but Entity is not a Specified U.S. Person, mention Entity's exemption code here			

PART A (to be filled by Financial Institution 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 Name of sponsoring entity _____ _____ 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 GIIN of sponsoring Entity, if any) ☐ Applied for ☐ Not obtained – Non-participating FI ☐ Not required to apply for – please specify 2 digits sub-category ☐ (Refer 1 A of Part C)
GIIN not available (please tick as applicable)	

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 _____

FACTA – CRS Terms and Conditions
The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our unit 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. 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 questions 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.

Declaration of Ultimate Beneficial Ownership [UBO] / Controlling Persons
Category (Please tick applicable category): ☐ Our company is a Listed Company on a recognized stock exchange in India/Subsidiary of a or Controlled by a Listed Company [If this category is selected, no need to provide UBO details] Name of the Stock Exchange where it is listed. _____ Security ISNI _____ Name of the Listed Company (applicable if the investor is subsidiary/associated): _____ ☐ Unlisted Company ☐ Unincorporated association/body of individuals ☐ Private Trust ☐ Limited Liability Partnership Company ☐ Public Charitable Trust ☐ Trust created by a Will ☐ Partnership Firm ☐ Religious Trust ☐ Others (please specify _____)
Ultimate Beneficiary Owner (UBO) / Controlling Persons(s) / Senior Managing Official details
Does your company/entity have any individual person(s) who holds direct/indirect controlling ownership above the prescribed threshold limit? ☐ Yes ☐ No If 'YES' - We hereby declare that the following individual person holds directly / indirectly controlling ownership in our entity a prescribed threshold limit. Details of such individual(s) are given below. If 'NO' - declare that no individual person (directly / indirectly) holds controlling ownership in our entity above the prescribed threshold limit. Details of the individual who holds the position of Senior Managing Official (SMO) are provided below.

Details	UBO1/Senior Managing Official (SMO)	UBO2	UBO3
Name of the UBO / SMO#.			
UBO / SMO PAN#. (For Foreign National, TIN to be provided)			
UBO / SMO Country of Tax Residency#. UBO / SMO Taxpayer Identification Number / Equivalent ID Number#.			
UBO / SMO Identity Type			
UBO / SMO Place & Country of Birth#	Place of Birth : _____ Country of Birth: _____	Place of Birth : _____ Country of Birth: _____	Place of Birth : _____ Country of Birth: _____
UBO / SMO Nationality			
UBO / SMO Date of Birth [dd-mmm-yyyy] #			
UBO / SMO PEP#	☐ PEP ☐ Related to PEP ☐ Not a PEP	☐ PEP ☐ Related to PEP ☐ Not a PEP	☐ PEP ☐ Related to PEP ☐ Not a PEP
UBO /SMO Address Type	☐ Residence ☐ Business ☐ Registered Office	☐ Residence ☐ Business ☐ Registered Office	☐ Residence ☐ Business ☐ Registered Office
UBO / SMO Occupation	☐ Public Service ☐ Private Service ☐ Business ☐ Others _____	☐ Public Service ☐ Private Service ☐ Business ☐ Others _____	☐ Public Service ☐ Private Service ☐ Business ☐ Others _____
SMO Designation#			
UBO / SMO KYC Complied. If not complied, please complete KYC process independently and then submit the proof.	Please attach the KYC acknowledgement	Please attach the KYC acknowledgement	Please attach the KYC acknowledgement

Mandatory column.

** In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof, Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country.

Note: If the given columns are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory.

Participating Mutual Fund(s) / RTA may call for additional information/documentation wherever required or if the given information is not clear / incomplete / correct and valid declaration should be submitted again with all the required information.

Declaration

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false, untrue, misleading, or misrepresenting, I/We am/are aware that I/We may be liable for it including any penalty levied by the statutory/legal/regulatory authority. I/We hereby confirm the above beneficial interest after perusing all applicable shareholding pattern and MF/RTA/other registered intermediaries can make reliance on the same. I/We hereby authorize you [RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries /or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities.

I/ We have understood the information requirements of this Form (read along with the Instructions & Definitions) and hereby confirm that the information provided by us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA Terms and Conditions above and hereby accept the same.

Name	
Designation	

--

--

--

Place _____

Date ____ / ____ / ____

Instruction for FACTA & CRS Declaration

- a. Financial Institution / Foreign Financial Institution [FFI] – Means any non-US financial institutions that is a – (1) Depository institution – accepts deposits in the ordinary course of banking or similar business; (2) Custodian institution - as a substantial portion of its business, hold financial assets for the accounts of others; (3) Investment entity – conducts a business or operates for or on behalf of a customer for any of the activities like trading in money market instruments, foreign exchange, foreign currency, etc. or individual or collective portfolio management or investing, administering or managing funds, money or financial assets on behalf of other persons; or an entity managed by this type of entity; or (4) Insurance company – entity issuing insurance products i.e. life insurance; (5) Holding or Treasury company – entity that is part of an expanded affiliate group that includes a depository, custodian, specified insurance company or investment entity.
- b. Direct Reporting NFFE – a NFFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS
- c. GIIN not required category:

Code	Sub-Category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors and Investment Managers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

- d. Listed Company - A company is publicly traded if its stock are regularly traded on one or more established securities markets (Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)
- e. Related Entity - an entity is a “Related Entity” of another entity if one controls the other, or the two entities are under common control (where control means direct or indirect ownership of more than 50% of the vote or value in an entity)
- f. Non-financial foreign entity [NFFE] – Non-US entity that is not a financial institution [including a territory NFFE]. Following NFFEs are excluded from FATCA reporting – (a) Publicly traded corporation / listed companies; (b) Related Entity of a listed company; and (c) Active NFFE
- g. Active NFFE – Any one of the following –

Code	Sub-Category
01	Less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and < 50% of the assets held by NFE are assets that produce or are held for the production of passive income
02	The NFE is a Governmental Entity, an International Organization, a Central Bank , or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for NFE status if the entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with

06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group
07	Any NFE is a 'non for profit' organization which meets all of the following requirements: • It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labour organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare; • It is exempt from income tax in India; • It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; • The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or noncharitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and • The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision thereof.

- h. Passive NFE - means any NFE that is not (i) an Active NFE or listed / publicly traded entity or entity related to the listed / publicly traded entity, or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations or (iii) the gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity - (Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes).
- i. Passive Income – portion of gross income that consists of dividends, interest, rents and royalties (other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFE), income equivalent to interest / amount received from pool of insurance contracts, annuities, excess of gains over losses from the sale or exchange of property / from transactions (including futures, forwards or similar transactions) in any commodities but not including (i) any commodity hedging transaction, determined by treating the entity as a controlled foreign corporation or (ii) active business gains or losses from the sale of commodities but only if substantially all the foreign entity's commodities are property, excess of foreign currency gains over losses, net income from notional principal contracts, amounts received under cash value insurance contracts, amounts earned by insurance company in connection with its reserves for insurance and annuity contracts.
- j. Controlling Persons means the natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations.
- k. Non-Participating FFIs [NPFFIs] – an FFI other than participating FFI, a deemed-complaint FFI, or an exempt beneficial owner.
- l. Specified US Persons – Any US Person other than i). A publicly traded corporation; ii). A corporation that is a member of the same expanded affiliate group; iii). A tax exempt organization; iv). an individual retirement plan; v). the United States or an agency or instrumentality of the United States; vi). Any state [including District of Columbia and United States possession] or State Authorities; vii). A bank, viii). A real estate investment trust; ix). A regulated investment company; x). an entity registered with the SEC under the Investment Company Act of 1940; xi). A common trust fund; xii). A tax exempt trust; xiii). A registered dealer; xiv). A registered broker.
- m. Expanded affiliated group – One or more chains of members connected through ownership (50% or more, by vote or value) by a common parent entity if the common parent entity owns stock or other equity interests meeting the requirements in atleast one of the other members.
- n. Owner documented FFI – AN FFI meeting the following requirements – (a) FFI is an FFI solely because it is an investment entity; (b) FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company; (c) FFI does not maintain a financial account for any non-participating FFI; (d) FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in the circumstances, and (e) The designated withholding agent agrees to report to the IRS (or, in case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any US specified persons and (2) Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a US person, an exempt beneficial owner, or an exempted NFE.

o. Exemption Code for US persons

Code	Sub-Category
A	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
B	The United States or any of its agencies or instrumentalities
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
F	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
G	A real estate investment trust
H	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
I	A common trust fund as defined in section 584(a)
J	A bank as defined in section 581
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan
O	Not Applicable

Instructions on Controlling Persons / Ultimate Beneficial Owner

As per PMLA guidelines and relevant SEBI circulars issued from time to time, non-individuals and trusts are required to provide details of controlling persons [CP] / ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs/UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted and includes a person who exercises ultimate effective control over a legal person or arrangement.

A. For Investors other than individuals or trusts:

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to: -
 - more than 10% of shares or capital or profits of the juridical person, where the juridical person is a company.
 - more than 10% of the capital or profits of the juridical person, where the juridical person is a partnership or or who exercises control through other means.”
For the purpose of this clause, “Control” shall include the right to control the management or policy decision.
 - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For Investors which is a trust: The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 10% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Provided that in case of a trust, the reporting entity shall ensure that trustees disclose their status at the time of commencement of an account-based relationship or when carrying out transactions as specified in clause (b) of sub-rule (1) rule 9.

C. Exemption in case of listed companies / foreign investors The client or the owner of the controlling interest is a company listed on a stock exchange or is a majority-owned subsidiary of such a company, there is no need for identification and verification of the identity of any shareholder or beneficial owner of such companies and hence exempted from UBO declaration provided other requisite information is provided. Intermediaries dealing with foreign investors’ viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012 and other circulars issued from time to time, for the purpose of identification of beneficial ownership of the client.

D. KYC requirements Beneficial Owner(s) / Senior Managing Official (SMO) is/are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the UBO(s) / SMO(s).

In case of Foreign Nationals, who are not KYC complied, they need to attach the ID proof in English along with the Nationality proof, Address proof again in English. If the documentary proof is in Foreign Language, it should be translated in English and should be attested by Indian Embassy of that country.

TARIFF SHEET

BROKERAGE FOR TRADING ACCOUNT

Transaction Type	Equity Cash			Equity F&O		
	Intraday (First Leg)	Intraday (Second Leg)	Delivery	Futures (First Leg)	Futures (Second Leg)	Options
Table No.						
Brokerage Rate (%)						
Min. Brokerage (Rs.)						

Transaction Type	Currency			Commodities F & O			
	Futures (First Leg)	Futures (Second Leg)	Options	Futures (First Leg)	Futures (Second Leg)	Options	Delivery
Table No.							
Brokerage Rate (%)							
Min. Brokerage (Rs.)							

TERMS AND CONDITIONS:

1. Second leg – if squared off on the same day.
2. Account Opening Charges (including KRA charges) for Trading Account is Rs. _____
3. SEBI Turnover Fees, STT, Service Tax, Clearing Charges, Stamp Duty & GST Transaction Charges will be levied separately from brokerage as applicable from time to time.
4. Statutory charges as applicable from time to time.

Other Charges:

1. In addition to above charges levied on account of Cheque Return, wrong reporting or cheques, DP Scheme Charges for DIS Re-issuance, issue of Duplicate Statements, Interest Charges, Delay payment charges, User ID – 'Internet Trading or Wireless Technology' etc. may be recovered from your account.
2. Shree Balaji Multicommodities Private Limited reserves the rights to change the brokerage as well as the tariff from time to time under intimation to client.

Client's Signature	
Client Name	

DISCLOSURE INFORMATION

Sir,

This is to inform you that we may do Pro-account trading at NCDEX, NSE (F & O, Currency Derivatives)

Thanks and best regards

I acknowledge the receipt of information given above by Shree Balaji Multicommodities Private Limited that they do Pro-account trading.

Client's Signature	
Client Name	

TARIFF STRUCTURE FOR DEPOSITORY SERVICE

S.No.	Particulars		Charges (in INR)
1.	Stamp Charges		As Applicable
2.	Annual Maintenance Charges (AMC) – Choose any one scheme i.e. given below:		
	a. Individual	SCHEME I: Annual AMC ☐	Rs. 199/-
		SCHEME II: Annual AMC ☐ (1 st Year Free AMC)	Rs. 249/-
		SCHEME III: One Time AMC ☐	Rs. 999/-
	b. Corporates		Rs. 999/-
3.	Transaction Charges		
	a. Purchase (On Market/Off Market)		Free
	b. Sale (On Market/Off Market-Slip Transaction)		Min. Rs. 30 and Max. Rs. 100 (subject to 0.04% of transaction value whichever is lower)
	c. Sale (POA)		Min. Rs. 20 and Max. Rs. 100 (subject to 0.04% of transaction value whichever is lower)
4.	BSDA (Basic Service Demat Account) Transaction Charges		Rs. 50/- per transaction (POA) and; Rs. 65/- per transaction (Non-POA)
5.	Delivery Instruction Slip Book		
	a. First DIS Book		Free + Courier/Postage Charges
	b. Additional DIS Book		Rs. 30/- per book (10 Slips)+Courier/Postage Charges
6.	Additional Statement Charges (one statement per month will be provided free of cost vide E-mail)		
	a. By E-mail		Free
	b. Physical		Rs. 5/- Page + Courier/Postage Charges
7.	Dematerialization		Rs. 10/- per certificate (Minimum Rs. 20/-) + Courier Postage Charges
8.	Rematerialization		Rs. 100/- per maximum 0.03% of transaction value whichever is higher
9.	Instruction Failure/Demat Rejection Charges		Rs. 40/- per transaction
10.	Pledge Creation/Closure/Invocation Charges		Rs. 50/- per transaction
11.	Margin Pledge/Un-Pledge		Rs. 20/- per Script upto 5 Lac, Above 5 Lac 0.002% on valuation of securities whichever is higher
12.	KRA Charges in BSDA account		Rs. 80/-
13.	Modification Charges (Online/Offline)		Rs. 25/- per request

TERMS & CONDITION W.R.T. CHARGES:

- Annual Account Maintenance Charges will be charged upfront every year.
- ***Scheme II**, if Account is closed during the First Year, AMC will be charged as per **SCHEME I**.
- ****Scheme III** includes Accounts Maintenance Charges for a period of 6 years (Rs. 999/- will be charged 1st Year (upfront) and Account Maintenance charge for the next 5 years will be free). In case, if account is closed during the said period, the BO will not be entitled for any refund.
- Courier/postage charges will be Rs. 20/- per courier (wherever applicable) for Rs. 40/- per postage and Rs. 50/- (upto 10 certificates) in case of Dematerialization Request.
- Tariff structure is based on existing CDSL charges and Shree Balaji Multicommodities Private Limited reserves the right to revise the tariff structure by giving notice of 30 days.
- Value of transaction will be in accordance with the rates provided by CDSL.
- In case of delay in the payment of charges, the demat account will be frozen for all operations till such period all dues are cleared and subject to 30 days' notice from the payment due date.
- Statutory charges as applicable from time to time.

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature of Client			

REQUESTING FOR BILL/TRANSACTION/HOLDING STATEMENT THROUGH EMAIL

To,
Shree Balaji Multicommodities Private Limited
Regd. Off.: Office No. 724/725, 7th Floor, Sun N Moon
Chamber, Near Ajmer Pulia, Jaipur (Raj) 302006

Date:

Dear Sir,

Sub.: Requesting for bill/transaction/holding statement through email

I/we request you to send me/us bill, transaction and holding statement of my CDSL Demat account no. _____ at following email address _____

I/we fully agree and are aware of following terms and conditions mentioned below.

- (a) that I/We will not receive the bill, transaction and holding statements in paper form.
- (b) that I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account.
- (c) that I/We am/are aware that the bill, transaction and holding statements may be accessed by other entities in case the confidentiality / secrecy of the login name and password is compromised.
- (d) that I/We in case bill, transaction and holding statements are sent by email, I/We will immediately inform the Shree Balaji Multicommodities Private Limited about change in email address, if any.

In case, the Shree Balaji Multicommodities Private Limited is not able to provide bill/transaction statement to its clients by email or on website due to any reason (including bounced emails), Shree Balaji Multicommodities Private Limited will ensure that the transaction statement is provided to me/us in paper form as per the time schedule stipulated in the Bye Laws & Business Rules of CDSL.

I/We hereby request you to send the statements:

Daily ☐ Fortnightly ☐ Weekly ☐ Monthly ☐

Yours Faithfully

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature of Client			

Declaration

I/We have received and read the Rights and Obligations documents and terms & conditions and agree to abide by and be bound by the same and the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true to the best of my/our knowledge as on the date of making this application.

I/We agree and undertake to intimate the DP of any change(s) in the details/particulars mentioned by me/us in this form.

I/We further agree that any false/misleading information given by me/us or suppression of any material information will render my account liable for termination and suitable action.

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature of Client			

VOLUNTARY UNDERTAKING/AUTHORISATION

Date:

To,
Shree Balaji Multicommodities Private Limited
Regd. Off: Office No. -724/725, 7th Floor, Sun N Moon Chamber,
Near Ajmer Pulia, Jaipur (Raj.) 302006

Sub: Voluntary Undertaking/Authorisation

With respect to member-constituent relationship and mandatory and voluntary (optional) documents executed between us, I/we do hereby authorize Shree Balaji Multicommodities Private Limited to do the following:

1. ORDER PLACEMENT INSTRUCTIONS

I understand that you require written instructions from me for placing/modifying/cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting/calling/emailing the call centre/branch specified for the said purpose by Shree Balaji Multicommodities Private Limited in case of breakdown of internet connectivity or other similar reasons. I hereby request you to kindly accept my 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 approved modes. I/we also agree that non-receipt of bounced mail notification by you shall amount to delivery of contract note at my/our email ID. I indemnify Shree Balaji Multicommodities Private Limited and its employees against all trade related losses, damages, actions which you may suffer or face, as a consequence carrying out my instructions for orders placed verbally

2. ERRORS AND OMISSIONS

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances Shree Balaji Multicommodities Private Limited 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 Shree Balaji Multicommodities Private Limited 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 Shree Balaji Multicommodities Private Limited.

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, Shree Balaji Multicommodities Private Limited 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 SUBBROKER

I undertake not to act as unregistered Sub-broker 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 Shree Balaji Multicommodities Private Limited to obtain a sub broker registration. In case Shree Balaji Multicommodities Private Limited perceives that I am acting as an unregistered sub broker, Shree Balaji Multicommodities Private Limited 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 Shree Balaji Multicommodities Private Limited without the requirement of any notice from Shree Balaji Multicommodities Private Limited. Further, Shree Balaji Multicommodities Private Limited has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify Shree Balaji Multicommodities Private Limited 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 Shree Balaji Multicommodities Private Limited 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 Shree Balaji Multicommodities Private Limited on its own comes to know of such action, Shree Balaji Multicommodities Private Limited has the right to suspend/close my trading account and refuse to deal with me. Also, Shree Balaji Multicommodities Private Limited can at its sole discretion, close all the open positions and liquidate collaterals to the extent of trade related 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 Shree Balaji Multicommodities Private Limited officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that:

- I do not have any links with any known unlawful persons/institutions
- 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 Shree Balaji Multicommodities Private Limited, its Directors and employees harmless from and against all trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the Shree Balaji Multicommodities Private Limited 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 supporting/ documents provided by me at the time of registration and/ or subsequently.

Client's
Signature



INDEMNITY OF JOINT HOLDINGS

I hereby agree to indemnify and hold Shree Balaji Multicommodities Private Limited harmless from any trade related 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. BSE StAR MUTUAL FUND FACILITY

I am interested in availing the StAR Mutual Fund facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the StAR platform of the Exchange. For the purpose of availing the StAR Mutual Fund 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 StAR 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 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. DELAYED PAYMENT CHARGES

I understand that in case my account is in debit balance and/or if I have insufficient funds to manage my trading positions, I will be charged an interest of 0.05% per day as delayed payment charges. I confirm having read the rules & regulations pertaining to the levy of such interest under the policies & procedures.

10. NRI DECLARATION

I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to Shree Balaji Multicommodities Private Limited every time the investment is made.

11. THIRD-PARTY PAYMENTS

Shree Balaji Multicommodities Private Limited shall have the prerogative to refuse payments received from any bank account where 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 proforma prescribed by Shree Balaji Multicommodities Private Limited, Shree Balaji Multicommodities Private Limited 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 Shree Balaji Multicommodities Private Limited and the credit for the same has been given in the client's ledger, Shree Balaji Multicommodities Private Limited shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, Shree Balaji Multicommodities Private Limited reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. Shree Balaji Multicommodities Private Limited, its Directors and employees shall not be responsible for any consequential damages or losses.

12. NO DEALINGS IN CASH

Shree Balaji Multicommodities Private Limited 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 Shree Balaji Multicommodities Private Limited.

13. DISCLOSURE OF PROPRIETARY TRADING BY SHREE BALAJI MULTICOMMODITIES PRIVATE LIMITED

Pursuant to SEBI Circular Number SEBI/MRD/SEC/Cir-42/2003 dated November 19, 2003, Shree Balaji Multicommodities Private Limited discloses to its clients about its policies on proprietary trades. Shree Balaji Multicommodities Private Limited does proprietary trades in the cash and derivatives segment at NSE, BSE, NCDEX & MCX.

14. DELIVERIES

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

15. SQUARING OFF OF POSITIONS & SALE/LIQUIDATION OF COLLATERAL MARGINS (to the extent of Settlement Margin obligation)

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 Shree Balaji Multicommodities Private Limited 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. Shree Balaji Multicommodities Private Limited, its Directors and Employees shall not be responsible for any trade related 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 Shree Balaji Multicommodities Private Limited.

After such square off of open positions by Shree Balaji Multicommodities Private Limited, 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, Shree Balaji Multicommodities Private Limited 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. Shree Balaji Multicommodities Private Limited, its Directors and employees shall not be responsible for any trade related loss or damages arising out of such selling.

Client's Signature	
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RUNNING ACCOUNT AUTHORISATION VOLUNTARY

To,

Date

Shree Balaji Multicommodities Private Limited
Regd. Off: Office No. 724/725, 7th Floor, Sun N Moon
Chamber, Near Ajmer Pulia, Jaipur (Raj) 302006

Dear Sir,

I will be dealing through you as client in Capital & Commodities Market and/or Future & Option segment and/or Currency Derivatives at BSE/NSE/NCDEX/MCX. In order to facilitate ease of operations and upfront requirement of margin for trade. I authorize you as under:

1. I request you to maintain running balance in my account & retain the credit balance in any of my account and to use the unused funds towards my margin/pay-in/other-future obligation(s) at any segment(s) of the Exchange/Clearing Corporation, unless I instruct you otherwise.
2. I request you to retain with you for my margin/pay-in/other-future obligation(s) at any segment(s) of the Exchange/Clearing Corporation, unless I instruct you to transfer the same to my account.
3. I request you to settle my fund and securities account. Once in every calendar Quarter or / Once in a calendar Month or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/ margin in form of Bank Guarantee and /or Fixed Deposit Receipts.
4. In case I have an outstanding obligation on the settlement date, you may retain the requisite securities/ funds towards such obligation 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.
5. I shall bring any dispute arising from the statement of account or settlement so made to the notice of the broker preferably within 7 working days from the date of receipts of funds/ securities or statement, as the case may be.
6. I confirm you that I can revoke the above mentioned authority anytime by giving notice in writing to you.

I request you to settle my funds and securities account.

Once in every:

☐ **Calendar Quarter**

☐ **Calendar Month**

Thanking you

Yours faithfully,

Trading Code _____

Client's Signature	
Client Name	

**AUTHORISATION FOR ELECTRONIC CONTRACT NOTE / STATEMENTS
VOLUNTARY**

To,

Date

Shree Balaji Multicommodities Private Limited
Regd. Off: Office No. 724/725, 7th Floor, Sun N Moon
Chamber, Near Ajmer Pulia, Jaipur (Raj) 302006

Dear Sir,

Subject: Issuance of Electronic Contract Notes/Statements in Electronic Form (Trading/Demat A/c)

In reference to my/our dealing with you as a client for trading in the Capital & Commodities Market and/or Futures & Options Segment and/or Currency Derivatives at BSE/NSE/NCDEX/MCX Stock Exchanges, I/We hereby give my/our consent to receive electronic contract notes (ECN), financial statements, margin statements or any other reports/notices in electronic mode from Shree Balaji Multicommodities Private Limited on my/our below mentioned email id.

I/We further give my/our consent to receive bills, ledgers, transaction statements, monthly/quarterly demat statement of accounts/holding statement(s)/bills, or any other reports/notices in electronic mode on my/our below mentioned email id for the Depository services I/we am /are availing through Shree Balaji Multicommodities Private Limited - DP.

I/we confirm that the email address has been generated by me/us.

1.....

2

I/We further hereby agree that the Shree Balaji Multicommodities Private Limited shall fulfill the legal obligation by sending the mentioned documents electronically to my/our e-mail id. I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email id(s).

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

I/We also undertake to check the ECN/Statement and other documents and bring the discrepancies to your notice within the time period as specified by the regulatory authorities. My/Our non-verification or not accessing the ECN/Statement and other documents on regular basis shall not be a reason for disputing the same at any time.

I/We understand and agree that I/we shall intimate any change in the email id mentioned herein through a physical letter to you. Whenever I/We want to discontinue the said facilities, I/We shall inform to Shree Balaji Multicommodities Private Limited immediately in writing.

I/We further agree that Shree Balaji Multicommodities Private Limited will not be held responsible for non receipt of documents sent via electronic delivery due to change in/incorrect e-mail address as mentioned or any other reason which inter alia include technical reasons or malfunction of my/our computer system/server/internet connection etc. Further I/We agree and undertake to indemnify Shree Balaji Multicommodities Pvt. Ltd., that they will not be held liable/ responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of information or pursuant to any litigation cases, complaints, actions, etc that may arise in future on account of my/ our above authorization request.

My Trading Code is _____

My/Our BO ID _____

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature of Client			

DECLARATION

Client Code: _____

To

Shree Balaji Multicommodities Pvt. Ltd.

Regd. Off: Office No. 724/725, 7th Floor, Sun N Moon

Chamber, Near Ajmer Pulia, Jaipur (Raj) 302006

For the purpose of Account Opening. I/We hereby declare that the details provided on the KRA/KYC page downloaded from KRA System by you, are true and correct till date. 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/We are aware that I/We may be held liable for it.

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature of Client			

Place:

Date _____ day of _____ 20 _____

REQUEST LETTER FOR REGISTRATION OF MOBILE NO./E-MAIL ID OF PERSON BELONGING TO THE CLIENT'S FAMILY

Please note that the Mobile No./Email ID/both mentioned in the Account Opening Form/request for change in Mobile No./Email ID belongs to Mr./Mrs./Ms. _____

who is my _____ (relationship with the client)

Client's Signature	
Client Name	

Only the Mobile No./Email ID of your spouse, dependent children and dependent parents can be registered in your demat account)

CLIENT DEFAULTER DECLARATION

Voluntary

I _____ having PAN _____ do hereby declare that I have not been involved in any unlawful 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 is true and correct.

Client's Signature	
Client Name	

**INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY
PROVIDED BY STOCK BROKER TO THE CLIENT**

(All the clauses mentioned in the "Rights and Obligations" document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet Based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with datacard, etc. which use Internet Protocol (IP).
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the Internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT website provided that they are in line with the norms prescribed by Exchanges/ SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy is as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such a person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the Internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/ password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/ password in any manner whatsoever.
8. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
9. The Client shall not have any claim against the Exchange or the Stockbroker on account of any suspension, interruption, non- availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or nonexecution of his orders due to any link / system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stockbroker/Exchanges.

Trading Code _____

Client's Signature	
Client Name	

Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL
[SMS Alerts will be sent by CDSL to BOs for all debits]

Definitions:

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

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

Availability:

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

Receiving Alerts:

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

Fees:

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

Disclaimer:

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

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

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

BOID

12089200

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Sole / Second Holder's Name : _____

Sole / Third Holder's Name : _____

Mobile Number on which messages are to be sent +91

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

The mobile number is registered in the name of: _____

Email ID: _____

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

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature of Client			

Place: _____

Date: _____

Terms and Conditions for availing Transaction Using Secured Texting (TRUST)
Service offered by CDSL

1. Definitions:

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

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
 - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository.
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
 5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
 6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
 7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
 8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
 9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
 10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
 11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.

The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.

12. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
13. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
14. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
15. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.

16. Indemnity:

In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

17. Disclaimer:

Depository shall be absolved of any liability in case:-

- a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
- b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
- c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility. .

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature of Client			

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.

Trading Code: _____

Client's Signature	
Client Name	

DEMAT DEBIT AND PLEDGE INSTRUCTION

TO ALL TO WHOM THESE PRESENTS SHALL COME I/WE

Name

Address

1. _____
2. _____
3. _____

Whereas I/We hold a Beneficiary account No. 12089200 _____ (BO-ID) with Central Depository Services (India) Limited, and UCC _____ through Shree Balaji Multicommodities Private Limited (Regd. Off.: Office No. 724/725, 7th Floor, Sun N Moon Chamber, Near Ajmer Pulia, Jaipur (Raj.) 302006) bearing SEBI registration No. IN-DP-422-2019.

And Whereas I/We am an investor engaged in buying and selling of securities through Shree Balaji Multicommodities Private Limited, a member of The National Stock Exchange of India Ltd., The Bombay Stock Exchange of India Ltd., MCX and NCDEX bearing SEBI registration No. INZ-0000-77535.

And Whereas I/We am the above named do authorized to Shree Balaji Multicommodities Private Limited perform the following functions on my/our behalf.

S.No.	Purpose	Signature of First Holder*	Signature of Second Holder*	Signature of Third Holder*
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.			
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.			
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms			
4.	Tendering shares in open offers through Stock Exchange platforms.			

To debit securities and/or to transfer securities from the aforesaid Demat account in respect of settlement of trades, margin obligations arising out of trades executed by me/us on the National Stock Exchange and to setup Margin Pledge and Re-Pledge to NSCCL and CM (NSE) CMID – M52094, For Securities Pay-in Pool A/c No. 1208920000001601, Early Pay in Account No. 1100001100020801, CM BP ID – IN520913 and the Bombay Stock Exchange (BSE) CMID 6723, Early Pay in Account No. 1100001000024280, Cash/F&O/Currency/Commodity Margin Pledge Account No. 1208920000002219 CM BP ID – IN667231 through Shree Balaji Multicommodities Private Limited.

This authority is restricted to the pay-in obligations arising out of the transactions of sale effected by me/us through Shree Balaji Multicommodities Private Limited and I/We ratify the instructions given by the aforesaid Clearing member to the Depository Participant named here in above in the manner specified herein.

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature of Client			

INCASE OF HUF: Co-Partner Signature

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature of Client			

Date: _____

DDPI. Registration No. D _____

We Accept

Shree Balaji Multicommodities Pvt. Ltd.	
Signature	
Place	

HUF DECLARATION AND CONSENT LETTER (NOC)

Date:

To,

Shree Balaji Multicommodities Private Limited

Regd. Off: Office No. 724/725, 7th Floor,

Sun N Moon Chamber, Near Ajmer Pulia,

Jaipur (Raj.)-302006

With regard to Beneficiary account No. (BO ID) _____ and Trading Account _____ maintained in the name & Style " _____ " with DP/Trading.

We the following family members, being the co-parceners in the HUF account. M/s _____ hereby give our consent that the said karta, viz Mr. _____ in the above mentioned BO ID/Trading account for shares transactions in the HUF Account.

Details of our HUF and all its co-parceners are stated as mentioned below

S.No.	Name of family member	Date of Birth DD/MM/YYYY	Gender	Relationship with KARTA	Signature (s)
1.					
2.					
3.					
4.					
5.					

I, hereby state that details mentioned above are true and any change in them would be intimated to you in writing.

Name of Karta : _____

Address of HUF: _____

Signature of Karta Along with Rubber Stamp

Note: Incase of Co-parcener in MINOR then KARTA will sign on behalf of him/her in above declaration.