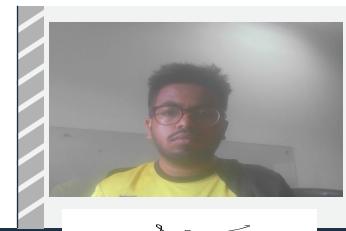


Know Your Client (KYC) Application Form (For Individuals Only)

Please fill type the form in English and BLOCK letters. **Sign all areas marked with 'x'.** Once completed, please mail the completed form along with the necessary proofs to our corporate office in Mumbai.



A. Identity Details (please see guidelines)

FULL NAME (As appearing in supporting identification document): ALIRAZA MOHD HAROON MALIK	
FATHER / SPOUSE'S NAME: MOHD HAROON MALIK	MAIDEN NAME: (If any)
MOTHER NAME:	
GENDER <input checked="" type="checkbox"/> MALE <input type="checkbox"/> FEMALE <input type="checkbox"/> T - TRANSGENDER	MARITAL STATUS <input type="checkbox"/> MARRIED <input checked="" type="checkbox"/> UNMARRIED
CITIZENSHIP <input checked="" type="checkbox"/> IN - INDIAN <input type="checkbox"/> OTHER	DATE OF BIRTH (dd/mm/yyyy) 18/07/2001
RESIDENTIAL STATUS <input checked="" type="checkbox"/> RESIDENT INDIVIDUAL <input type="checkbox"/> NON RESIDENT INDIAN <input type="checkbox"/> FOREIGN NATIONAL	<input type="checkbox"/> PERSON OF INDIAN ORIGIN
PAN (Please enclose a duly attested copy) GOLPM2874H	
Applicant E-Sign	
PROOF OF IDENTITY SUBMITTED FOR PAN EXEMPT CASES (Please Tick✓) <input type="checkbox"/> A- Aadhar Card XXXXXXXX _____ <input type="checkbox"/> B- Passport Number _____ <input type="checkbox"/> C- Voter ID _____ <input type="checkbox"/> D - Driving License _____ <input type="checkbox"/> E - NREGA Job Card _____ <input type="checkbox"/> F - NPR _____ <input checked="" type="checkbox"/> z - Others PAN _____ <small>(any document by Central Government)</small>	
<small>eSigned document: ALIRAZA MOHD HAROON MALIK 24.05.2023 16:41:45 Reason: Upstox Trading and Demat A/C Opening</small>	

B. Address Details (Please see guidelines)

Address Type <input type="checkbox"/> Residential / Business <input checked="" type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified		
ADDRESS FOR RESIDENCE/CORRESPONDENCE:		
Saki Naka, Badroo Compound,Yadav Nagar,Khairani Road Saki Naka		
CITY/TOWN/VILLAGE: Mumbai	STATE: Maharashtra	PIN CODE 400072
DISTRICT: Mumbai	COUNTRY: India	

PERMANENT ADDRESS OF RESIDENT APPLICANT IF DIFFERENT FROM ABOVE B1 OR OVERSEAS ADDRESS(MANDATORY) FOR NON RESIDENT APPLICANT:

Saki Naka, Badroo Compound,Yadav Nagar,Khairani Road Saki Naka

CITY/TOWN/VILLAGE: Mumbai	STATE: Maharashtra	PIN CODE 400072
DISTRICT: Mumbai	COUNTRY: India	

PROOF OF ADDRESS* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

<input checked="" type="checkbox"/> A- Aadhar Card XXXXXXXX 6 6 8 7	
<input type="checkbox"/> B- Passport Number _____	Expiry Date _____
<input type="checkbox"/> C- Voter ID _____	
<input type="checkbox"/> D - Driving License _____	Expiry Date _____
<input type="checkbox"/> E - NREGA Job Card _____	
<input type="checkbox"/> F - NPR _____	
<input type="checkbox"/> z - Others _____	(any document by Central Government)
Identification Number _____	

C. Contact Details (in CAPITAL)

EMAIL ID* aliiaraza92786@gmail.com

MOBILE NO.* 9653661894

TEL (Off)

TEL (Res)

D. Applicant Declaration

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and the entire account opening form along with supporting documents as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

Place Mumbai

Date 24/05/2023

Applicant e-SIGN

Applicant Wet Signature

eSigned document:

ALIRAZA MOHD HAROON MALIK

24.05.2023 16:41:45

Reason: Upstox Trading and Demat A/C Opening

FOR OFFICE USE ONLY

IPV Done on (dd/mm/yyyy) _____

AMC/Intermediary name OR code

(Originals verified) True copies of documents received

Application Type New Update

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Place

KYC Number (Mandatory for KYC update request)

(Attested) True copies of documents received Main Intermediary

Account Type Normal Small
 Simplified

KYC Mode* Normal EKYC OTP EKYC Biometric Online KYC Offline KYC Digilocker

DECLARATION FOR NAME MISMATCH

(To be filled if the name on documents is different)

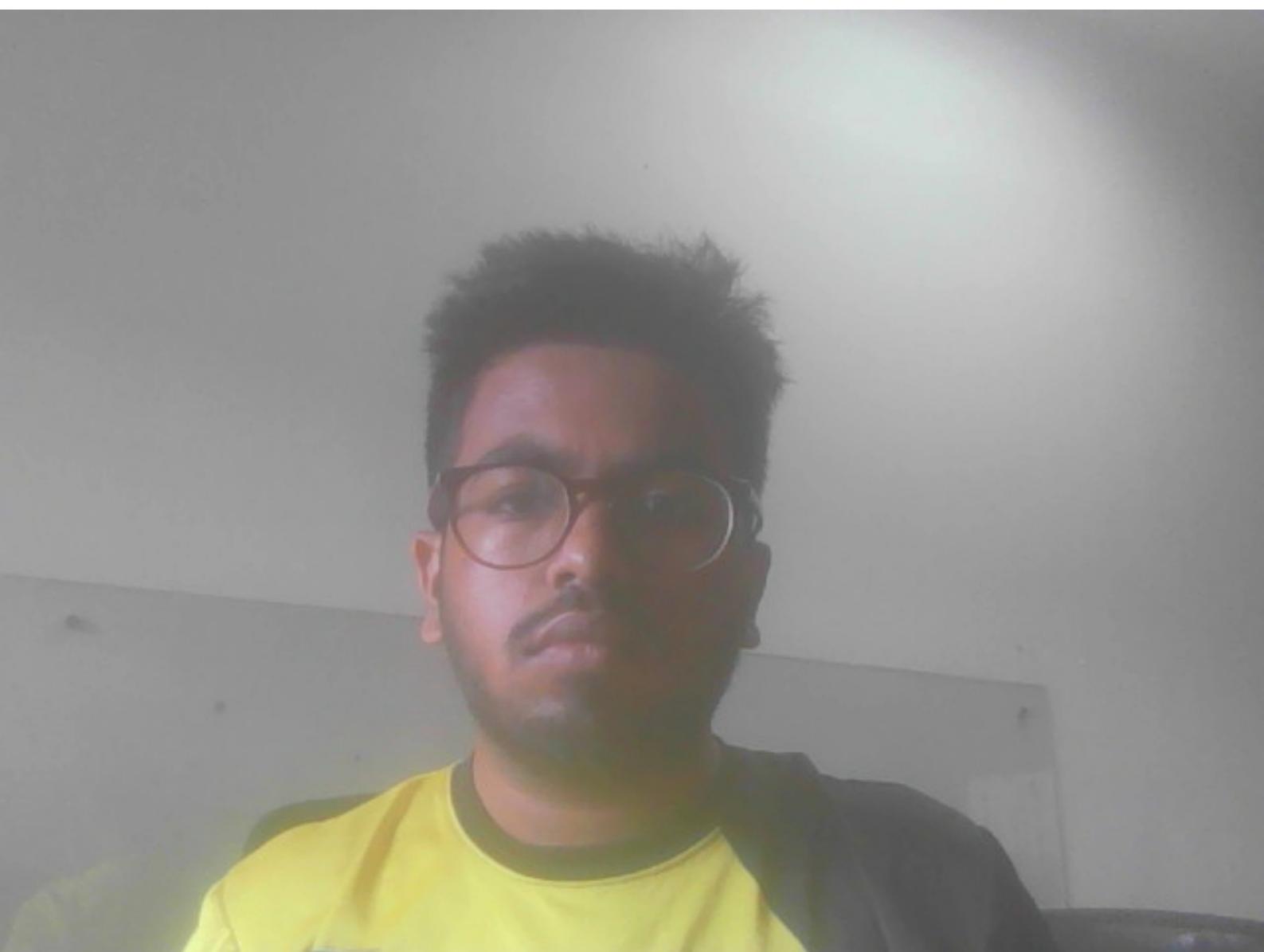
This is to bring to your notice that my name is spelt differently in my Identity proof, Address proof and Bank proof. Please find below the names as spelt in respective proofs:

Name as per Income Tax	ALIRAZA MOHD HAROON MALIK
Name as per Bank Proof	ALIRAZA MOHD HAROONM
Name as per Address Proof	Aliraza Mohd Haroon Malik
Name as per Income Proof	

I hereby confirm that all the said names belong to me. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep RKS Securities India Pvt. Ltd. / RKS Commodities India Pvt. Ltd. indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by RKS Securities India Pvt. Ltd. / RKS Commodities India Pvt. Ltd. for any act done or omitted to be done on the above declaration.

CLIENT'S SIGNATURE [12] X _____



eSigned document:
ALIRAZA MOHD HAROON MALIK
24.05.2023 16:41:45
Reason: Upstox Trading and Demat A/C Opening



आयकर विभाग

Income Tax Department

PAN VERIFICATION RECORD

Permanent Account Number

GOLPM2874H

Name	ALIRAZA MOHD HAROON MALIK	
Gender	MALE	
DOB	18/07/2001	
Verified On	24/05/2023 16:27:20	



Digitally Signed On:
24/05/2023 16:27:20 IST ✓

Note:

1. This PAN data is verified by DigiLocker (<https://digilocker.gov.in>) as per data provided by the issuing authority, Income Tax Department, Govt. of India.
2. This digitally signed verification document is valid as per the IT Act 2000 when used electronically.

DigiLocker Verified e-Aadhaar

This document is generated from verified Aadhaar XML obtained from DigiLocker with due user consent and authentication

Document type	e-Aadhaar generated from DigiLocker verified Aadhaar XML		
Generation date	2023-05-24T16:26:39.965+05:30	Download date	2023-05-24T16:26:39.965+05:30
Masked Aadhaar Number	xxxxxxxxx6687		
Name	Aliraza Mohd Haroon Malik		
Date of birth	18-07-2001		
Gender	M		
c/o, s/o,	S/O Mohd Haroon Malik		
Address	Saki Naka Badroo Compound,Yadav Nagar,Khairani Road Saki Naka Mumbai, 400072, Maharashtra		
Landmark		Locality	Badroo Compound,Yadav Nagar,Khairani Road
City/District	Mumbai		
PIN Code	400072	State	Maharashtra



eSigned document:
ALIRAZA MOHD HAROON MALIK
24.05.2023 16:41:45
Reason: Upstox Trading and Demat A/C Opening

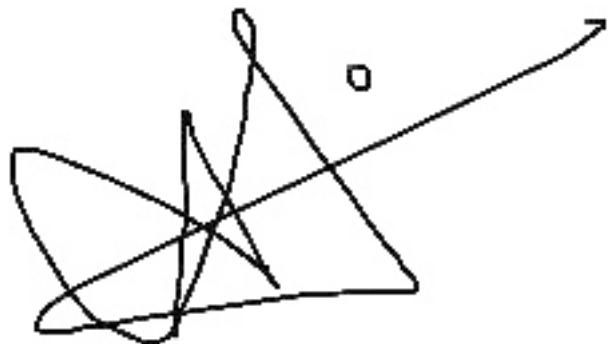
Digitally signed e-Aadhaar XML

eSigned document:

ALIRAZA MOHD HAROON MALIK

24.05.2023 16:41:45

Reason: Upstox Trading and Demat A/C Opening



I wish to register the mentioned signature as authorized signature for all activities and correspondence with RKSV/Upstox

Signature as per our records

eSigned document:
ALIRAZA MOHD HAROON MALIK
24.05.2023 16:41:45
Reason: Upstox Trading and Demat A/C Opening

MANDATORY DOCUMENTS

DOCUMENT	SIGNIFICANCE	PAGE(s)
Account Opening Form	a) KYC form - Document captures the basic information about the constituent and an instruction/check list. b) Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	3
Rights and Obligations	Provided to client	
Risk Disclosure Document (RDD)	Provided to client	
Guidance Note	Provided to client	
Policies and Procedures	Provided to client	
Tariff Sheet	Details the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	9
FATCA CRS Declaration	Client's self declaration on holding of overseas asset if any	12

VOLUNTARY CLAUSE

DOCUMENT	SIGNIFICANCE	PAGE(s)
Authorization for Electronic Contract Notes	Letter of Authorization for Electronic Contract Notes.	10
Authorization of running account/request letter	Letter or authority/request to RKSV Commodities India Pvt. Ltd.	10

REGISTERED OFFICE ADDRESS

RKSV Securities India Private Limited
 807, New Delhi House, Barakhamba Road
 Connaught Place, New Delhi, 110 011
 Telephone: +91-22-6130-9999
 Fax: +91-22-6710-7492
 Email: contact@upstox.com, www.upstox.com

CEO (BSE/NSE)

Mr. Ravi Kumar
 Telephone: +91-22-6130-9999
 Email: compliance@upstox.com, www.upstox.com

COMPLIANCE OFFICER (BSE/NSE)

Mr. Amit Lalan
 Telephone: +91-22-6130-9999
 Email: compliance@upstox.com, www.upstox.com

COMPLIANCE OFFICER (DP)

Mr. Amit Lalan
 Telephone: +91-22-6130-9999
 Email: compliance@upstox.com, www.upstox.com

KYC PROCESSING OFFICE ADDRESS

RKSV Commodities India Private Limited
 Salasar Business Park,
 Off 150 Feet Flyover Road,
 Bhayander West,
 Thane,
 Maharashtra 401101
 Telephone: +91-22-6130-9999
 Fax: +91-22-6710-7492
 Email: contact@upstox.com, www.upstox.com

SEBI REGISTRATION NUMBERS

SEBI Regn. No. INZ000015837
 |MCX: MCX/TM/CORP/2034
 Registration Date: Jan 22, 2016
 Clearing Member: ISSL Settlement & Transaction Services Limited, MCX: MCX/CM/CORP/108

For any grievance/ dispute please contact RKSV Commodities India Pvt. Ltd. at the above address and/ or email id: compliance@upstox.com and complaints.mcx@rksv.in and/ or Phone No. +91-22-6130-9999. In case you are not satisfied with the response, please contact the concerned exchange at MCX: MCX/CM/CORP/108 and Phone No. +91-22-6731-8888]. Procedure to file a complaint on SEBI SCORES: Register on SCORES portal. Mandatory details for filing complaints on SCORES: Name, PAN, Address, Mobile Number, E-mail ID.

[ASigned document](#)

ALEX S A MOHIB HARONI MALIK
24.03.2025 16:41:45

Reason: Upstox Trading and Demat A/C Opening

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

(A) IMPORTANT POINTS

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

(B) PROOF OF IDENTITY(P01): List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Bank.

(C) PROOF OF ADDRESS (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be Valid on the date of submission.)

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

(D) EXEMPTIONS/CLARIFICATIONS TO PAN (*Sufficient documentary evidence in support of such claims to be collected.)

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

(E) LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENTS:

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

ADDITIONAL DOCUMENTS IN CASE OF TRADING IN DERIVATIVES SEGMENTS - ILLUSTRATIVE LIST

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

1. Copy of ITR Acknowledgement
2. Copy of Annual Accounts
3. In case of Salary Income – Salary Slip, Copy of Form 16
4. Net Worth Certificate
5. Copy of demat account holding statement.
6. Bank account statement for last 6 months
7. Self declaration with relevant supporting documents.
8. Any other relevant documents substantiating ownership of Assets.

eSigned document:

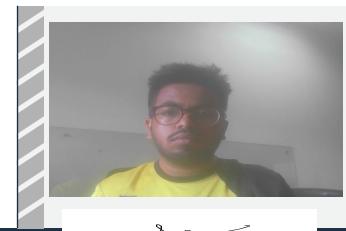
ALIRAZA MOHD HAROON MALIK

24.05.2023 16:41:45

Reason: Upstox Trading and Demat A/C Opening

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

Please fill type the form in English and BLOCK letters. **Sign all areas marked with 'x'.** Once completed, please mail the completed form along with the necessary proofs to our corporate office in Mumbai.



A. Identity Details (please see guidelines)

FULL NAME (As appearing in supporting identification document): ALIRAZA MOHD HAROON MALIK	
FATHER / SPOUSE'S NAME: MOHD HAROON MALIK	MAIDEN NAME: (If any)
MOTHER NAME:	
GENDER <input checked="" type="checkbox"/> MALE <input type="checkbox"/> FEMALE <input type="checkbox"/> T - TRANSGENDER	MARITAL STATUS <input type="checkbox"/> MARRIED <input checked="" type="checkbox"/> UNMARRIED
CITIZENSHIP <input checked="" type="checkbox"/> IN - INDIAN <input type="checkbox"/> OTHER	DATE OF BIRTH (dd/mm/yyyy) 18/07/2001
RESIDENTIAL STATUS <input checked="" type="checkbox"/> RESIDENT INDIVIDUAL <input type="checkbox"/> NON RESIDENT INDIAN <input type="checkbox"/> FOREIGN NATIONAL	<input type="checkbox"/> PERSON OF INDIAN ORIGIN
PAN (Please enclose a duly attested copy) GOLPM2874H	
Applicant E-Sign	
PROOF OF IDENTITY SUBMITTED FOR PAN EXEMPT CASES (Please Tick✓) <input type="checkbox"/> A- Aadhar Card XXXXXXXX _____ <input type="checkbox"/> B- Passport Number _____ <input type="checkbox"/> C- Voter ID _____ <input type="checkbox"/> D - Driving License _____ <input type="checkbox"/> E - NREGA Job Card _____ <input type="checkbox"/> F - NPR _____ <input checked="" type="checkbox"/> z - Others PAN _____ <small>(any document by Central Government)</small>	
<small>eSigned document: ALIRAZA MOHD HAROON MALIK 24.05.2023 16:41:45 Reason: Upstox Trading and Demat A/C Opening</small>	

B. Address Details (Please see guidelines)

Address Type <input type="checkbox"/> Residential / Business <input checked="" type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified		
ADDRESS FOR RESIDENCE/CORRESPONDENCE:		
Saki Naka, Badroo Compound,Yadav Nagar,Khairani Road Saki Naka		
CITY/TOWN/VILLAGE: Mumbai	STATE: Maharashtra	PIN CODE 400072
DISTRICT: Mumbai	COUNTRY: India	

PERMANENT ADDRESS OF RESIDENT APPLICANT IF DIFFERENT FROM ABOVE B1 OR OVERSEAS ADDRESS(MANDATORY) FOR NON RESIDENT APPLICANT:

Saki Naka, Badroo Compound,Yadav Nagar,Khairani Road Saki Naka

CITY/TOWN/VILLAGE: Mumbai	STATE: Maharashtra	PIN CODE 400072
DISTRICT: Mumbai	COUNTRY: India	

PROOF OF ADDRESS* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

<input checked="" type="checkbox"/> A- Aadhar Card XXXXXXXX 6 6 8 7	
<input type="checkbox"/> B- Passport Number _____	Expiry Date _____
<input type="checkbox"/> C- Voter ID _____	
<input type="checkbox"/> D - Driving License _____	Expiry Date _____
<input type="checkbox"/> E - NREGA Job Card _____	
<input type="checkbox"/> F - NPR _____	
<input type="checkbox"/> z - Others _____	(any document by Central Government)
Identification Number _____	

C. Contact Details (in CAPITAL)

EMAIL ID* aliiaraza92786@gmail.com

MOBILE NO.* 9653661894

TEL (Off)

TEL (Res)

D. Applicant Declaration

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and the entire account opening form along with supporting documents as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

Place Mumbai

Date 24/05/2023

Applicant e-SIGN

Applicant Wet Signature

eSigned document:

ALIRAZA MOHD HAROON MALIK

24.05.2023 16:41:45

Reason: Upstox Trading and Demat A/C Opening

FOR OFFICE USE ONLY

IPV Done on (dd/mm/yyyy) _____

AMC/Intermediary name OR code

(Originals verified) True copies of documents received

Application Type New Update

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Place

KYC Number (Mandatory for KYC update request)

(Attested) True copies of documents received Main Intermediary

Account Type Normal Small
 Simplified

KYC Mode* Normal EKYC OTP EKYC Biometric Online KYC Offline KYC Digilocker

DECLARATION FOR NAME MISMATCH

(To be filled if the name on documents is different)

This is to bring to your notice that my name is spelt differently in my Identity proof, Address proof and Bank proof. Please find below the names as spelt in respective proofs:

Name as per Income Tax	ALIRAZA MOHD HAROON MALIK
Name as per Bank Proof	ALIRAZA MOHD HAROONM
Name as per Address Proof	Aliraza Mohd Haroon Malik
Name as per Income Proof	

I hereby confirm that all the said names belong to me. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep RKS Securities India Pvt. Ltd. / RKS Commodities India Pvt. Ltd. indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by RKS Securities India Pvt. Ltd. / RKS Commodities India Pvt. Ltd. for any act done or omitted to be done on the above declaration.

CLIENT'S SIGNATURE [12] X _____

SECTION A**DEALINGS THROUGH OTHER MEMBERS**

IF CLIENT IS DEALING THROUGH ANY OTHER MEMBER, PLEASE PROVIDE THE FOLLOWING DETAILS
 (IN CASE DEALING WITH MULTIPLE MEMBERS, PROVIDE DETAILS OF ALL IN A SEPARATE SHEET CONTAINING
 ALL THE INFORMATION AS MENTIONED BELOW)

MEMBER/AUTHORIZED PERSON NAME:		EXCHANGE:	EXCHANGE REGISTRATION NUMBER:	
CONCERNED MEMBER'S NAME WITH WHOM AP IS REGISTERED:				CLIENT CODE:
REGISTERED OFFICE ADDRESS:				CITY:
STATE:	COUNTRY:	TELEPHONE:	FAX:	
EMAIL ID (As mentioned on Page 3): aliraza92786@gmail.com		DETAILS OF DISPUTES/DUES PENDING FROM/TO SUCH MEMBER/AP:		
WEBSITE:				

SECTION B**VAT DETAILS (AS APPLICABLE, STATE WISE)**

LOCAL SALES TAX REGISTRATION NUMBER:	
VALIDITY DATE (DD/MM/YYYY)	NAME OF THE STATE:
OTHER SALES TAX REGISTRATION NUMBER:	
VALIDITY DATE (DD/MM/YYYY)	NAME OF THE STATE:

SECTION C**SALES TAX REGISTRATION DETAILS**

LOCAL SALES TAX REGISTRATION NUMBER:	
VALIDITY DATE (DD/MM/YYYY)	NAME OF THE STATE:
CENTRAL SALES TAX REGISTRATION NUMBER:	
VALIDITY DATE (DD/MM/YYYY)	
OTHER SALES TAX REGISTRATION NUMBER:	
VALIDITY DATE (DD/MM/YYYY)	NAME OF THE STATE:

SECTION D**INVESTMENT/TRADING EXPERIENCE AND ADDITIONAL DETAILS**

<input type="checkbox"/> NO PRIOR EXPERIENCE IN TRADING / INVESTMENT	
NUMBER OF YEARS OF COMMODITIES EXPERIENCE:	YEARS OF EXPERIENCE IN OTHER INVESTMENT FIELDS:
<1 Year	
CONTRACT NOTE PREFERENCES	
<input type="radio"/> ELECTRONIC CONTRACT NOTE (ECN) <input type="radio"/> PHYSICAL CONTRACT NOTE	
EMAIL ADDRESS: aliraza92786@gmail.com	

SECTION E**INTRODUCER DETAILS**

(OPTIONAL)

INTRODUCER'S NAME:	INTRODUCER'S RELATIONSHIP:
INTRODUCER'S STATUS: <input type="radio"/> EXISTING CLIENT <input type="radio"/> AUTHORIZED PERSON <input type="radio"/> SUB-BROKER <input type="radio"/> REMISIER <input type="radio"/> OTHERS, PLEASE SPECIFY _____	

INTRODUCER'S ADDRESS:

INTRODUCER'S PHONE NUMBER:	INTRODUCER'S CLIENT ID:	INTRODUCER'S SIGNATURE
----------------------------	-------------------------	-------------------------------

PLEASE SIGN BELOW ATTESTING TO ALL THE INFORMATION ON THIS PAGE

CLIENT'S NAME: ALIRAZA MOHD HAROON MAIK

CLIENT'S SIGNATURE [3] X

eSigned document:

ALIRAZA MOHD HAROON MALIK
DATE: 05/09/2023 16:41:49 | 2 | 4 | 0 | 5 | 2 | 0 | 2 | 3 |

Reason: Upstox Trading and Demat A/C Opening

Nomination Form

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

TM / DP										FORM FOR NOMINATION <i>(To be filled in by individual applying singly or jointly)</i>																					
Date	12	D4	N0	15	Y2	00	12	3	UCC/ DP ID	1	2	0	8	1	8	0	1	Client ID													
<p>I/We the sole holder/Joint holders/Guardian (in case of minor) hereby declare that:</p> <p><input checked="" type="radio"/> I/We do not wish to nominate any one for this demat account.</p> <p><input type="radio"/> I/We nominate the following person who is entitled to receive security balances lying in my/our account, Particulars whereof are given below, in the event of my/our death.</p> <p>I/We wish to make a nomination. <i>[As per details given below]</i></p>																															
<p>Nomination Details</p>																															
<p>I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.</p>																															
<p>Nomination can be made upto three nominees in the account.</p>			<p>Details of 1st Nominee</p>							<p>Details of 2nd Nominee</p>							<p>Details of 3rd Nominee</p>														
1	Name of the nominee(s) (Mr./Ms.)																														
2	Share of each Nominee	Equally <small>[If not equally, please specify percentage]</small>								%								%													
<p><i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i></p>																															
3	Relationship With the Applicant (If Any)																														
4	Address of Nominee(s)																														
<p>City / Place: State & Country:</p>																															
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%;">PIN Code</td> <td style="width: 15%;"></td> </tr> </table>																										PIN Code					
	PIN Code																														
5	Mobile / Telephone No. of nominee(s)																														
6	Email ID of nominee(s)																														

eSigned document:
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 24.05.2023 16:41:45
 Reason: Upstox Trading and Demat A/C Opening

7	Nominee Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:				
8	Date of Birth {in case of minor nominee(s)}			
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10	Address of Guardian(s)			
	City / Place: State & Country:			
11	Mobile / Telephone no. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
Name(s) of holder(s)				Signature(s) of holder*
Sole / First Holder (Mr./Ms.)				
Second Holder (Mr./Ms.)				
Third Holder (Mr./Ms.)				

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

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

eSigned document:
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 24.05.2023 16:41:45
 Reason: Upstox Trading and Demat A/C Opening

Declaration Form for opting out of nomination

[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

To	Date	D 2	D 4	M 0	M 5	Y 2	Y 0	Y 2	Y 3
Trading Member/Participant's Name	RKS Securities India Private Limited								
Trading Member/Participant's Address	30th Floor, Sunshine Tower, Senapati Bapat Marg, Dadar (W), Mumbai - 400 013								
UCC/DP ID	1	2	0	8	1	8	0	1	
Client ID (only for Demat account)									
Sole/First Holder Name	ALIRAZA MOHD HAROON MALIK								
Second Holder Name									
Third Holder Name									
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.									
Name and Signature of Holder(s)*									
ALIRAZA MOHD HAROON M. 									
1.	2.	3.							

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

eSigned document:
ALIRAZA MOHD HAROON MALIK
24.05.2023 16:41:45
Reason: Upstox Trading and Demat A/C Opening

TARIFF SHEET

TO: RKS Commodities India Private Limited

Dear Sir or Madam,

I would like to subscribe to the RKS Commodities India Pvt. Ltd for trading and demat account and request RKS Commodities India Pvt. Ltd. to apply brokerage charges as mentioned and as per the terms and conditions of RKS Commodities India Pvt. Ltd.

BROKERAGE CHARGE

- | | | | |
|---------------------|---------------------------------------|----------------------------------------------------|-------------------------------------------------|
| Account opening fee | <input checked="" type="radio"/> Free | <input type="radio"/> Rs. 149/- [Trading] +GST Rs. | <input type="radio"/> Rs. 199/- [Trading] +GST |
| | | <input type="radio"/> 499/- [Trading] +GST | <input type="radio"/> Rs. 999/- [Trading] + GST |

Brokerage - Basic 0.05% or RS 20/- per order traded Whichever is lower ; For option Rs. 20 per order traded

STATUTORY CHARGES

In addition to the above monthly subscription charges, the following statutory charges will also be levied at actuals: Commodities Transaction Tax, Transaction Charges, Stamp Duty, SEBI Turnover Fees, Clearing Member Charges and GST. Electronic Contract Notes are free. In case of any request for Physical Contract note, the Contract Note copies will be charged at Rs. 50 per contract note (for ECN clients) + Courier charges as applicable. Depository Participant charges as levied by RKS. Terms and Conditions can be subject to change provided the same is done as for applicable guidelines of SEBI/exchange.

The terms and conditions of the RKS Commodities India Pvt. Ltd. plans have been read and understood by me. I wish to avail the plans below provided by RKS Commodities India Pvt. Ltd. for my trading account subject to the terms and conditions mentioned above.

I declare that I have read and understood the terms and conditions governing the RKS Commodities India Pvt. Ltd.

Note: Brokerage is also charged on expired, exercised and assigned Futures and Options contracts.

Yours faithfully,

CLIENT'S NAME ALIRAZA MOHD HAROON MALIK

**CLIENT'S
SIGNATURE [7]** 

DATE (DD/MM/YYYY) | 2 | 4 | 0 | 5 | 2 | 0 | 2 | 3 |

FOR OFFICE USE ONLY

CLIENT'S TRADING ACCOUNT NUMBER

eSigned document:
ALIRAZA MOHD HAROON MALIK
24.05.2023 16:41:45
Reason: Upstox Trading and Demat A/C Opening

LETTER FOR AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES & AUTHORIZATION FOR RUNNING ACCOUNT

TO: RKS Commodities India Private Limited,
30th Floor, Sunshine Tower, Senapati Bapat
Marg, Dadar (W), Mumbai - 400 013

SUB: Authorization for Electronic Contract Notes & AUTHORIZATION FOR RUNNING ACCOUNT

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

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

EMAIL ADDRESS (Same as mentioned on Page 3): aliraza92786@gmail.com

1. I also agree that non-receipt of bounced mail notification by you shall amount to delivery at my email account /email id.
2. I agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.
3. I agree that the log reports of your dispatching software shall be a proof of dispatch of contract notes to me and such dispatch shall be deemed to mean receipt by me and shall not be disputed by me on account of any non-receipt/delayed receipt for any reason whatsoever.
4. I understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I am an internet client then in that event the request for change in email id/email account can be made by me through a secured access using client specific user id and password. Please treat this authorization as written ratification of my verbal directions/authorizations given and carried out by you earlier. I shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my directions given above.
5. I understand that, you shall send physical copy of the contract note within 24 hours if you received a bounced email.
6. I am a registered client with you, and am dealing in Commodity Market segment(s), and have a RKS Commodities India Pvt. Ltd. client code as mentioned below.
7. I am aware that payout / dividend received / credited from the exchange(s) against settlement of transaction as per settlement cycle is available within 1 working day of the payout from the Exchange. It is difficult or me to make available the required funds on every pay-in of funds obligation / margin obligation, hence I request you to maintain my account on a running basis and retain the payout received / credit balance in my account for my future obligation / margin obligation or other liabilities unless I instruct otherwise.
8. I hereby further authorize you to debit / credit / transfer the amounts between the various segments either on the same Exchange and / or Exchanges to meet my/our obligation or various dues payable to you / Exchange(s).
9. If payment of funds is required, I shall request you in writing or through the web option for funds withdrawal on the web login. Further it may be noted that if required I may revoke this authorization at any time after giving request in writing.
10. This running account authorization would continue until it is revoked by me. The actual settlement of funds shall be done at least once in the preference period selected below: QUARTERLY MONTHLY
11. While settling the account having outstanding obligations on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges .
12. I shall bring any dispute arising from the statement of account or settlement so made to your notice within 30 working days from the date of receipt of funds or statement, as the case may be else it will be final

Yours faithfully,

CLIENT'S NAME ALIRAZA MOHD HAROON MALIK

CLIENT'S SIGNATURE [8] X

DATE (DD/MM/YYYY) 2 | 4 | 0 | 5 | 2 | 0 | 2 | 3

FOR OFFICE USE ONLY

Verification of the Client Signature done by:

DESIGNATED OFFICER SIGNATURE

DATE (DD/MM/YYYY) _____

DESIGNATED OFFICER NAME:

eSigned document:
ALIRAZA MOHD HAROON MALIK

24.05.2023 16:41:45

Reason: Upstox Trading and Demat A/C Opening

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ACKNOWLEDGEMENT LETTER

TO: RKS Commodities India Private Limited
30th Floor, Sunshine Tower,
Senapati Bapat Marg,
Dadar (W),
Mumbai - 400 013

Dear Sir / Madam,

I/We hereby acknowledge receipt of the following documents

1. Rights and Obligations of Members, Authorised Persons and Clients
2. Risk Disclosure Document
3. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors
4. General Terms and Conditions and the policy and procedures governing the commodity trading and broking services of RKS Commodities India Pvt. Ltd.

I/We understand that the Voluntary documents executed by me/us are out of my/our own free will.

I/We hereby confirm that I/We have clearly understood and agree to abide by the Terms and Conditions described by RKS Commodities India Pvt. Ltd (RKS). I/We also understand that these general Terms and Conditions can be changed by RKS from time to time with prior notice of 7 days and subject to posting of the amendments and modifications therein on its website and their applicability with prospective effect.

I/We state that I have read and understood all above documents including the Terms and Conditions governing commodities trading and broking services of RKS Commodities India Pvt. Ltd. and agree to abide by the same.

This is to inform you as per Rules, Regulations and Bye-laws of Multi Commodity Exchange of India Ltd. (MCX) that we do Client based trading and Proprietary trading and we are not indulged in portfolio management services.

I/We acknowledge receipt of information given above by RKS Commodities India Pvt. Limited that they do Client based trading and Proprietary trading and they are not indulged in portfolio management services.

Yours faithfully

CLIENT'S NAME		ALIRAZA MOHD HAROON MALIK							
CLIENT'S SIGNATURE [9]				DATE (DD/MM/YYYY)					
				2	4	0	5	2	0

eSigned document:
ALIRAZA MOHD HAROON MALIK
24.05.2023 16:41:45

Reason: Upstox Trading and Demat A/C Opening

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FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

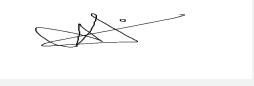
<i>Please fill the information below as requested</i>	
Name of the Account Holder	ALIRAZA MOHD HAROON MALIK
Indicate () your Tax Residency / Citizenship / Nationality	<input checked="" type="checkbox"/> India <input type="checkbox"/> U.S.A <input type="checkbox"/> Others
If ticked on "Others" and/or "U.S.A", please provide all details under point no. 2,3,4,5 below:	
Specify City and Country of Birth	
Specify Country(ies) of Tax Residency/ Citizenship / Nationality / Green card holder, other than India	
Tax Identification Number (for U.S.A.) or its functional equivalent (other than U.S.A.)	
Source of Wealth	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others

DECLARATION

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

- a) The details furnished above are true to the best of my knowledge and belief and shall undertake to inform RKS Commodities India Private Limited within 30 days, in case of any change in the above given status on a future date;
- b) If I/we am/are U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details, would be reported by RKS Commodities India Private Limited to the relevant tax authority, or information may be shared with concerned Asset Management Companies (AMCs) or to any of the Government Agencies / Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India;

CLIENT'S SIGNATURE [10]


X

What is FATCA / CRS?

The U.S. government introduced the Foreign Account Tax Compliance Act, 2010 (FATCA) for obtaining information on accounts held by U.S. taxpayers in other countries. Further, Organization for Economic Co-operation & Development (OECD) and G20 countries agreed for automatic exchange on information through Common Reporting Standards (CRS). The Government of India has signed an Inter-Government Agreement (IGA) with US and has also joined the Multilateral Competent Authority agreement (MCAA) for automatic sharing of information with member countries of OECD and G20. By virtue of India signing an IGA with US and joining MCAA, Indian financial institutions will have to provide the required financial information to Indian tax authorities which in turn would forward reportable information to US IRS and member countries of OECD and G20 countries.

US Person means: In case of individuals, U.S. person means a citizen or resident of the United States. Persons who would qualify as U.S. persons could be born in United States, born outside the United States of a US parent, Naturalized citizens, Green Card Holders, tax residents.

Who is Reportable Person (Non US) under Common Reportable Standards (CRS)?

Under Common Reportable Standards (CRS), reportable person means Tax residents of a reportable foreign jurisdiction other than U.S. (Please note the above information is provided only for quick reference to customers. You are requested to consult a legal/ tax advisor if in doubt.)

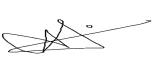
Documents to be collected if Customer's Country of birth is U.S. but declare that he/ she are not a U.S. person

1. Certificate of relinquishment of citizenship (Loss of nationality certificate); OR
2. Self certification for stating reasons for not having such a certificate despite relinquishment U.S. citizenship; OR
3. Self certification for stating reasons for not obtaining U.S. citizenship at birth.

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 24.05.2023 16:41:45
 Reason: Upstox Trading and Demat A/C Opening

PART A: INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO 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. Trading Member 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 data card, etc. which use Internet Protocol (IP). The Trading Member shall comply with all requirements applicable to internet based trading/ securities using trading wireless technology as may be specified by SEBI & the Exchanges from time to time
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 Trading Member 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 Web Site provided that they are in line with the norms prescribed by Exchanges/ SEBI.
3. The Trading Member 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 Trading Member
4. The Trading Member shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy 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 System IBT using the Client's Username and/ or Password whether or not such 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 Trading Member
6. The Client shall immediately notify the Trading Member 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 Trading Member shall send the order/ trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology the Trading Member shall send the order/ trade confirmation on the device of the client
9. 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 Trading Member 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.
10. The Client shall not have any claim against the Exchange or the Trading Member 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 non-execution of his orders due to any link/ system failure at the Client/ Stock brokers/ Exchange end for any reason beyond the control of the Trading Member/ Exchanges

CLIENT'S NAME ALIRAZA MOHD HAROON MALIK		
CLIENT'S SIGNATURE [11] X		DATE (DD/MM/YYYY) 2 4 0 5 2 0 2 3

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ALIRAZA MOHD HAROON MALIK
24.05.2023 16:41:45
Reason: Upstox Trading and Demat A/C Opening

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGE

S. NO.	DOCUMENT	SIGNIFICANCE	PAGE(s)
1	Account Opening Form	KYC form - Document captures the basic information about the constituent and an instruction/check list for filling KYC form.	4
2	Rights and Obligations	Provided to the client (consent declaration on Page 7)	
3	Risk Disclosure Document (RDD)	Provided to the client (consent declaration on Page 7)	
4	Guidance Note	Provided to the client (consent declaration on Page 7)	
5	Policies and Procedures	Provided to the client (consent declaration on Page 7)	
6	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) and charges related to demat account	16

MANDATORY DOCUMENTS FOR OPENING OF DEMAT ACCOUNT

S. NO.	DOCUMENT	SIGNIFICANCE	PG NO's
7	Application for Demat Account	Details are required for adhering to "Know Your Client" for opening a Demat Account	5
8	Authorisation for debit charges	Authorisation to debit trading account for the demat account charges - Part B	8
9	FATCA CRS Declaration	Client's self declaration on holding of overseas asset if any	11

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

S. NO.	DOCUMENT	SIGNIFICANCE	PG NO's
10	DIS Issue	Option form for issue of Delivery Instruction Slip	10
11	Power of Attorney	Power of Attorney provided to broker to facilitate payin of securities and other authorizations	17-18
12	Letter of Authorization for Electronic Contract	Client consent letter for receiving the contract notes by Email.	9
13	Running Account Authorization	Letter of Authorization for maintaining a Running Account with RKS.	9
14	Declaration	Declaration related to Mobile/Email ID registration.	15

REGISTERED OFFICE ADDRESS

RKS Securities India Private Limited
807, New Delhi House, Barakhamba Road
Connaught Place, New Delhi, 110 011
Telephone: +91-22-6130-9999
Fax: +91-22-6710-7492
Email: contact@upstox.com, www.upstox.com

CEO (BSE/NSE)

Mr. Ravi Kumar
Telephone: +91-22-6130-9999
Email: compliance@upstox.com, www.upstox.com

COMPLIANCE OFFICER (BSE/NSE)

Mr. Manoj Agarwal
Telephone: +91-22-6130-9999
Email: compliance@upstox.com, www.upstox.com

COMPLIANCE OFFICER (DP)

Mr. Manoj Agarwal
Telephone: +91-22-6130-9999
Email: compliance@upstox.com, www.upstox.com

KYC PROCESSING OFFICE ADDRESS

RKS Securities India Private Limited
Salasar Business Park,
Off 150 Feet Flyover Road,
Bhayander West,
Thane,
Maharashtra 401101
Telephone: +91-22-6130-9999
Fax: +91-22-6710-7492
Email: contact@upstox.com, www.upstox.com

SEBI REGISTRATION NUMBERS

SEBI Regn. No. NSE/BSE : INZ000185137
Registration Date: July 23, 2010
SEBI Regn. No. DP: IN-DP-118-2015
Registration Date: September 4, 2015

CLEARING MEMBER INFORMATION

RKS Securities India Pvt. Ltd
ISSL Settlement & Transaction Services
Limited: INF231133630, INF011133834,
eSigned document
INE231308334 CIN: U74900DL2009PTC189166
ALIRAZA MOHD HAROON MALIK

For any grievance/ dispute please contact RKS Securities India Pvt. Ltd. at the above address and/ or email id: complaints@rksv.in and/ or complaints.mcx@rksv.in and/ or Phone No. +91-22-6130-9999. In case you are not satisfied with the response, please contact the concerned exchange(s) at MCX at grievance@mca212india.com and Phone No. +91-22-6731-8888. Procedure to file a complaint on SEBI SCORES: Register on SCORES portal. Mandatory details for filing complaints on SCORES: Name, PAN, Address, Mobile Number, Email ID.

Reason: Upstox Trading and Demat A/C Opening

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

(A) IMPORTANT POINTS

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
8. 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.
9. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Bank.

(C) PROOF OF ADDRESS (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be Valid on the date of submission.)

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

(D) EXEMPTIONS/CLARIFICATIONS TO PAN (*Sufficient documentary evidence in support of such claims to be collected.)

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

(E) LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENTS:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).

eSigned document:
ALIRAZA MOHD HAROON MALIK
24.05.2023 16:41:45
Reason: Upstox Trading and Demat A/C Opening

ADDITIONAL DOCUMENTS IN CASE OF TRADING IN DERIVATIVES SEGMENTS - ILLUSTRATIVE LIST

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

1. Copy of ITR Acknowledgement
2. Copy of Annual Accounts
3. In case of Salary Income – Salary Slip, Copy of Form 16
4. Net Worth Certificate
5. Copy of demat account holding statement.
6. Bank account statement for last 6 months
7. Photocopy of the canceled cheque having the name of the account holder where the cheque book is issued, (or)
8. Photocopy of the Bank Statement having name and address of the BO
9. Photocopy of the Passbook having name and address of the BO, (or)
10. Letter from the Bank.
11. Self declaration with relevant supporting documents.
12. Any other relevant documents substantiating ownership of Assets.

In case of options 7, 8, 9 and 10 above, MICR and IFSC code of the branch should be present / mentioned on the document.

DEMAT MASTER OR RECENT HOLDING STATEMENT ISSUED BY DP BEARING NAME OF THE CLIENT

For individuals:

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

For non-individuals:

1. Form needs to be initialized by all the authorized signatory.
2. Copy of Board Resolution as declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

ANNEXURE 2.3

INSTRUCTIONS TO THE APPLICANTS (BOs) FOR ACCOUNT OPENING

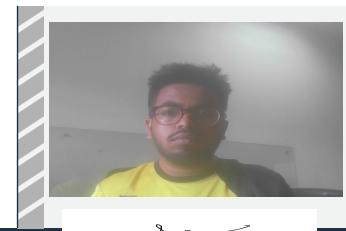
1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate/ Special Executive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

eSigned document:
ALIRAZA MOHD HAROON MALIK
24.05.2023 16:41:45
Reason: Upstox Trading and Demat A/C Opening



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

Please fill type the form in English and BLOCK letters. **Sign all areas marked with 'x'.** Once completed, please mail the completed form along with the necessary proofs to our corporate office in Mumbai.



A. Identity Details (please see guidelines)

FULL NAME (As appearing in supporting identification document): ALIRAZA MOHD HAROON MALIK	
FATHER / SPOUSE'S NAME: MOHD HAROON MALIK	MAIDEN NAME: (If any)
MOTHER NAME:	
GENDER <input checked="" type="checkbox"/> MALE <input type="checkbox"/> FEMALE <input type="checkbox"/> T - TRANSGENDER	MARITAL STATUS <input type="checkbox"/> MARRIED <input checked="" type="checkbox"/> UNMARRIED
CITIZENSHIP <input checked="" type="checkbox"/> IN - INDIAN <input type="checkbox"/> OTHER	DATE OF BIRTH (dd/mm/yyyy) 18/07/2001
RESIDENTIAL STATUS <input checked="" type="checkbox"/> RESIDENT INDIVIDUAL <input type="checkbox"/> NON RESIDENT INDIAN <input type="checkbox"/> FOREIGN NATIONAL	<input type="checkbox"/> PERSON OF INDIAN ORIGIN
PAN (Please enclose a duly attested copy) GOLPM2874H	
Applicant E-Sign	
PROOF OF IDENTITY SUBMITTED FOR PAN EXEMPT CASES (Please Tick✓) <input type="checkbox"/> A- Aadhar Card XXXXXXXX _____ <input type="checkbox"/> B- Passport Number _____ <input type="checkbox"/> C- Voter ID _____ <input type="checkbox"/> D - Driving License _____ <input type="checkbox"/> E - NREGA Job Card _____ <input type="checkbox"/> F - NPR _____ <input checked="" type="checkbox"/> z - Others PAN _____ <small>(any document by Central Government)</small>	
<small>eSigned document: ALIRAZA MOHD HAROON MALIK 24.05.2023 16:41:45 Reason: Upstox Trading and Demat A/C Opening</small>	

B. Address Details (Please see guidelines)

Address Type <input type="checkbox"/> Residential / Business <input checked="" type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified		
ADDRESS FOR RESIDENCE/CORRESPONDENCE:		
Saki Naka, Badroo Compound, Yadav Nagar, Khairani Road Saki Naka		
CITY/TOWN/VILLAGE: Mumbai	STATE: Maharashtra	PIN CODE 400072
DISTRICT: Mumbai	COUNTRY: India	

PERMANENT ADDRESS OF RESIDENT APPLICANT IF DIFFERENT FROM ABOVE B1 OR OVERSEAS ADDRESS(MANDATORY) FOR NON RESIDENT APPLICANT:

Saki Naka, Badroo Compound, Yadav Nagar, Khairani Road Saki Naka

CITY/TOWN/VILLAGE: Mumbai	STATE: Maharashtra	PIN CODE 400072
DISTRICT: Mumbai	COUNTRY: India	

PROOF OF ADDRESS* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

<input checked="" type="checkbox"/> A- Aadhar Card XXXXXX 6 6 8 7	
<input type="checkbox"/> B- Passport Number _____	Expiry Date _____
<input type="checkbox"/> C- Voter ID _____	
<input type="checkbox"/> D - Driving License _____	Expiry Date _____
<input type="checkbox"/> E - NREGA Job Card _____	
<input type="checkbox"/> F - NPR _____	
<input type="checkbox"/> z - Others _____	(any document by Central Government)
Identification Number _____	

C. Contact Details (in CAPITAL)

EMAIL ID* aliiaraza92786@gmail.com

MOBILE NO.* 9653661894

TEL (Off)

TEL (Res)

D. Applicant Declaration

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and the entire account opening form along with supporting documents as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

Place Mumbai

Date 24/05/2023

Applicant e-SIGN

Applicant Wet Signature

eSigned document:

ALIRAZA MOHD HAROON MALIK

24.05.2023 16:41:45

Reason: Upstox Trading and Demat A/C Opening

FOR OFFICE USE ONLY

IPV Done on (dd/mm/yyyy) _____

AMC/Intermediary name OR code

(Originals verified) True copies of documents received

Application Type New Update

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Place

KYC Number (Mandatory for KYC update request)

(Attested) True copies of documents received Main Intermediary

Account Type Normal Small
 Simplified

KYC Mode* Normal EKYC OTP EKYC Biometric Online KYC Offline KYC Digilocker

DECLARATION FOR NAME MISMATCH

(To be filled if the name on documents is different)

This is to bring to your notice that my name is spelt differently in my Identity proof, Address proof and Bank proof. Please find below the names as spelt in respective proofs:

Name as per Income Tax	ALIRAZA MOHD HAROON MALIK
Name as per Bank Proof	ALIRAZA MOHD HAROONM
Name as per Address Proof	Aliraza Mohd Haroon Malik
Name as per Income Proof	

I hereby confirm that all the said names belong to me. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep RKS Securities India Pvt. Ltd. / RKS Commodities India Pvt. Ltd. indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by RKS Securities India Pvt. Ltd. / RKS Commodities India Pvt. Ltd. for any act done or omitted to be done on the above declaration.

CLIENT'S SIGNATURE [12] X _____

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT



TO BE FILLED BY THE DEPOSITORY PARTICIPANT

APPLICATION NUMBER:	DATE (DD/MM/YYYY)
---------------------	-------------------

DP INTERNAL REFERENCE NUMBER:	DP ID 1 2 0 8 1 8 0 1 BO ID _____
-------------------------------	---------------------------------------------------

TYPE OF ACCOUNT (PLEASE TICK WHICHEVER IS APPLICABLE)

<input checked="" type="radio"/> INDIVIDUAL <input type="radio"/> NRI <input type="radio"/> FOREIGN NATIONAL	<input checked="" type="radio"/> INDIVIDUAL RESIDENT <input type="radio"/> INDIVIDUAL DIRECTOR'S RELATIVE INDIVIDUAL <input type="radio"/> PROMOTER <input type="radio"/> INDIVIDUAL MARGIN TRADING A/C (MANTRA)	<input type="radio"/> INDIVIDUAL DIRECTOR <input type="radio"/> INDIVIDUAL HUF / AOP <input type="radio"/> MINOR <input type="radio"/> OTHERS (SPECIFY) _____
	<input type="radio"/> NRI REPATRIABLE <input type="radio"/> NRI REPATRIABLE PROMOTER <input type="radio"/> NRI DEPOSITORY RECEIPTS	<input type="radio"/> NRI NON - REPATRIABLE <input type="radio"/> NRI NON - REPATRIABLE PROMOTER <input type="radio"/> OTHERS (SPECIFY) _____
	<input type="radio"/> FOREIGN NATIONAL <input type="radio"/> FOREIGN NATIONAL DEPOSITORY RECEIPTS	<input type="radio"/> OTHERS (SPECIFY) _____

HOLDER DETAILS (TO BE FILLED BY THE APPLICANT IN BLOCK LETTERS)

I/We Request You To Open A Demat Account In my/ our Name as per following details:

SOLE/FIRST HOLDER'S NAME ALIRAZA MOHD HAROON MALIK

PAN NO. (Compulsory) G O L P M 2 8 7 4 H	UID NO. _____
------------------------------------------------------------	---------------

UCC ID _____	EXCHANGE ID NSE: 13942 BSE: 6155
--------------	----------------------------------

SECOND HOLDER'S NAME:

PAN NO. (Compulsory) _____	UID NO. _____
----------------------------	---------------

THIRD HOLDER'S NAME:

PAN NO. (Compulsory) _____	UID NO. _____
----------------------------	---------------

NAME*:

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

DETAILS OF GUARDIAN (IN CASE THE ACCOUNT HOLDER IS MINOR)

GUARDIAN'S NAME:

RELATIONSHIP WITH THE APPLICANT:	PAN NO. (Compulsory) _____
----------------------------------	----------------------------

I / We instruct the DP to receive each and every credit in my/our account. (If not marked, the default option would be 'Yes') <input checked="" type="radio"/> YES <input type="radio"/> NO	I / We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (If not marked, the default option would be 'No') <input type="radio"/> YES <input checked="" type="radio"/> NO
---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Account Statement Requirement <input type="radio"/> AS PER SEBI REGULATION <input type="radio"/> DAILY <input type="radio"/> WEEKLY <input type="radio"/> FORTNIGHTLY <input checked="" type="radio"/> MONTHLY	I / We request you to send Electronic Transaction-cum- Holding Statement at the email ID <input type="radio"/> YES <input type="radio"/> NO aliraza92786@gmail.com
--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

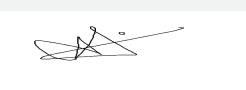
I / We would like to share the email ID with the RTA <input checked="" type="radio"/> YES <input type="radio"/> NO	I / We would like to receive the Annual Report (Tick the applicable box. If not marked, the default option would be in Physical) <input type="radio"/> PHYSICAL <input type="radio"/> ELECTRONIC <input checked="" type="radio"/> BOTH PHYSICAL AND ELECTRONIC
---------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

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

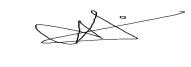
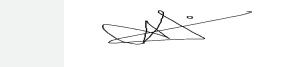
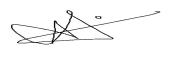
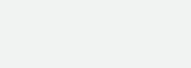
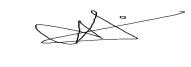
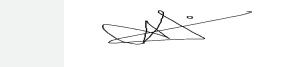
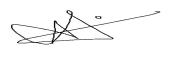
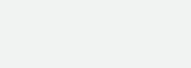
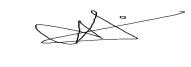
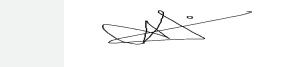
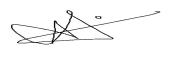
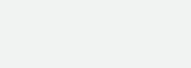
Re: Confirmation to receive the account opening document and welcome letter through email and digitally signed

With reference to my/our application for opening of a Demat account with you. I / We wish to receive all documents related to account opening documents, welcome letter and CMR copy (digitally signed) on the registered email id provided. None of these would be physically sent unless requested for the same.

Thanking You, Yours faithfully

FIRST/SOLE HOLDER SIGNATURE [3]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
 X		eSigned document: ALIRAZA MOHD HAROON MALIK 24.05.2023 16:41:45 Reason: Upstox Trading and Demat A/C Opening

TRADING AND DEMAT ACCOUNT RELATED DETAILS

SECTION A		PRIMARY BANKING ACCOUNT (DIVIDEND BANK DETAILS)																									
BANK NAME Canara Bank		BRANCH NAME DIGITAL BANKING SERVICES WING																									
BRANCH ADDRESS CANARA BANK HEAD OFFICE 5TH FLOOR NAVEEN COMPLEX 14 MG RD BANGALORE KARNATAKA 560001																											
CITY/TOWN/VILLAGE BANGALORE		PIN CODE	560001																								
		STATE KARNATAKA																									
ACCOUNT NUMBER 110086439419		COUNTRY India																									
MICR NUMBER	_____	IFSC CODE	CNRB0000033																								
ACCOUNT TYPE	<input type="radio"/> CURRENT <input checked="" type="radio"/> SAVINGS <input type="radio"/> NRI / NRE / NRO <input type="radio"/> OTHERS (Please Specify) _____																										
SECTION B		PRIMARY DEPOSITORY ACCOUNT (OPTIONAL)																									
DEPOSITORY PARTICIPANT NAME		DP TYPE (NSDL/CDSL)	DEPOSITORY PARTICIPANT ID																								
BENEFICIARY NAME		BENEFICIARY ID (BO ID)																									
SECTION C		TRADING PREFERENCES																									
<p>Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client. If, in future, the client wants to trade on any new segment / new exchange, separate authorization / letter should be taken from the client by the stock broker.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">BSE CASH SEGMENT <input checked="" type="checkbox"/> X </td> <td style="width: 33%;">NSE CASH SEGMENT <input checked="" type="checkbox"/> X </td> <td style="width: 33%;">NSE F&O SEGMENT <input checked="" type="checkbox"/> X </td> </tr> <tr> <td>BSE CDS SEGMENT <input checked="" type="checkbox"/> X </td> <td>NSE CDS SEGMENT <input checked="" type="checkbox"/> X </td> <td></td> </tr> <tr> <td>DATE (DD/MM/YYYY) 2 4 0 5 2 0 2 3 </td> <td colspan="2"></td> </tr> </table>				BSE CASH SEGMENT <input checked="" type="checkbox"/> X 	NSE CASH SEGMENT <input checked="" type="checkbox"/> X 	NSE F&O SEGMENT <input checked="" type="checkbox"/> X 	BSE CDS SEGMENT <input checked="" type="checkbox"/> X 	NSE CDS SEGMENT <input checked="" type="checkbox"/> X 		DATE (DD/MM/YYYY) 2 4 0 5 2 0 2 3																	
BSE CASH SEGMENT <input checked="" type="checkbox"/> X 	NSE CASH SEGMENT <input checked="" type="checkbox"/> X 	NSE F&O SEGMENT <input checked="" type="checkbox"/> X 																									
BSE CDS SEGMENT <input checked="" type="checkbox"/> X 	NSE CDS SEGMENT <input checked="" type="checkbox"/> X 																										
DATE (DD/MM/YYYY) 2 4 0 5 2 0 2 3																											
SECTION D		PAST ACTIONS																									
<p>Details of any action/ proceedings initiated/ pending/ taken by SEBI/ Stock exchange/ any other authority against the applicant/constituent or its Partners/ promoters/ whole time directors/ authorized persons in charge of dealing in securities during the last 3 years.</p>																											
SECTION E		DEALINGS THROUGH OTHER MEMBERS																									
<p>IF CLIENT IS DEALING THROUGH ANY OTHER MEMBER, PLEASE PROVIDE THE FOLLOWING DETAILS (IN CASE DEALING WITH MULTIPLE MEMBERS, PROVIDE DETAILS OF ALL IN A SEPARATE SHEET CONTAINING ALL THE INFORMATION AS MENTIONED BELOW)</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">MEMBER/AUTHORIZED PERSON NAME:</td> <td>EXCHANGE:</td> <td>EXCHANGE REGISTRATION NUMBER:</td> </tr> <tr> <td colspan="3">CONCERNED MEMBER'S NAME WITH WHOM AP IS REGISTERED:</td> <td>CLIENT CODE:</td> </tr> <tr> <td colspan="3">REGISTERED OFFICE ADDRESS:</td> <td>CITY:</td> </tr> <tr> <td>STATE:</td> <td>COUNTRY:</td> <td>TELEPHONE:</td> <td>FAX:</td> </tr> <tr> <td colspan="2">EMAIL ADDRESS: aliiraza92786@gmail.com</td> <td colspan="2">DETAILS OF DISPUTES/DUES PENDING FROM/TO SUCH MEMBER/ AP:</td> </tr> <tr> <td colspan="2">WEBSITE:</td> <td colspan="2"></td> </tr> </table>				MEMBER/AUTHORIZED PERSON NAME:		EXCHANGE:	EXCHANGE REGISTRATION NUMBER:	CONCERNED MEMBER'S NAME WITH WHOM AP IS REGISTERED:			CLIENT CODE:	REGISTERED OFFICE ADDRESS:			CITY:	STATE:	COUNTRY:	TELEPHONE:	FAX:	EMAIL ADDRESS: aliiraza92786@gmail.com		DETAILS OF DISPUTES/DUES PENDING FROM/TO SUCH MEMBER/ AP:		WEBSITE:			
MEMBER/AUTHORIZED PERSON NAME:		EXCHANGE:	EXCHANGE REGISTRATION NUMBER:																								
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STATE:	COUNTRY:	TELEPHONE:	FAX:																								
EMAIL ADDRESS: aliiraza92786@gmail.com		DETAILS OF DISPUTES/DUES PENDING FROM/TO SUCH MEMBER/ AP:																									
WEBSITE:																											
<input type="checkbox"/> 6. DETAILS OF RELATED PERSON (RP) (In case of additional related persons, please fill Annexure B1') (Please refer instruction G at the end)																											
<input type="checkbox"/> Addition of RP <input type="checkbox"/> Deletion of RP KYC Number of RP (if available*) _____																											
RP Type*	<input type="checkbox"/> Guardian of Minor	<input type="checkbox"/> Assignee	<input type="checkbox"/> Authorized Representative																								
Name*	Prefix	First Name	Last Name eSigned document: ALIRAZA MOHD HAROON MALIK 24.05.2023 16:41:45 Reason: Upstox Trading and Demat A/C Opening																								
(If KYC number and name are provided, Proof of identity of RP required)																											

PARTA: INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO 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 data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/ securities using trading wireless technology as may be specified by SEBI & the Exchanges from time to time
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 Web Site 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 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 System IBT using the Client's Username and/ or Password whether or not such 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 stock broker shall send the order/ trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology the stock broker shall send the order/ trade confirmation on the device of the client
9. 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.
10. The Client shall not have any claim against the Exchange or the Stock broker 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 non-execution of his orders due to any link/ system failure at the Client/ Stock brokers/ Exchange end for any reason beyond the control of the stock broker/ Exchanges

PART B

Dear Sir,

Sub: Authorisation to debit trading account for the demat account charges

Ref: DP ID: 1 2 0 8 1 8 0 1 BO ID

I/We have opened/have a beneficiary account with your CDSL depository along with a trading account for investment and trading purposes. It would be difficult or me/us to keep issuing separate cheques against your depository bills. I/We, therefore authorize you to debit the charges payable towards operation of the above account. I/We are aware of the charges for operating the said account. Any such sum debited to my trading account shall be binding on me/us.

Thanking you,

Yours truly,

CLIENT'S NAME ALIRAZA MOHD HAROON MALIK

**CLIENT'S
SIGNATURE [7]** X

DATE (DD/MM/YY): 2 | 4 | 0 | 5 | 2 | 0 | 2 | 3 |

ALIRAZA MOHD HAROON MALIK

24.05.2023 16:41:45

Reason: Upstox Trading and Demat A/C Opening

PAGE 9

LETTER FOR AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES & AUTHORIZATION FOR RUNNING ACCOUNT

TO: RKS Securities India Private Limited, 30th Floor,
Sunshine Tower, Senapati Bapat Marg, Dadar (W),
Mumbai - 400 013

SUB: Authorization for Electronic Contract Notes & AUTHORIZATION FOR RUNNING ACCOUNT

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

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

EMAIL ADDRESS (Same as mentioned on Page 5): aliraza92786@gmail.com

1. I also agree that non-receipt of bounced mail notification by you shall amount to delivery at my email account /email id.
2. I agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.
3. I agree that the log reports of your dispatching software shall be a proof of dispatch of contract notes to me and such dispatch shall be deemed to mean receipt by me and shall not be disputed by me on account of any non-receipt/delayed receipt for any reason whatsoever.
4. I understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I am an internet client then in that event the request for change in email id/email account can be made by me through a secured access using client specific user id and password. Please treat this authorization as written ratification of my verbal directions/authorizations given and carried out by you earlier. I shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my directions given above.
5. I understand that, you shall send physical copy of the contract note within 24 hours if you received a bounced email.
6. I am a registered client with you, and am dealing in Capital Market/ Derivative Market/ Currency Market segment(s), and have a RKS Securities India Pvt. Ltd. client code as mentioned below.
7. I am aware that payout / dividend received / credited from the exchange(s) against settlement of transaction as per settlement cycle is available within 1 working day of the payout from the Exchange. It is difficult for me to make available the required funds on every pay-in of funds obligation / margin obligation, hence I request you to maintain my account on a running basis and retain the payout received / credit balance in my account for my future obligation / margin obligation or other liabilities unless I instruct otherwise.
8. I hereby further authorize you to debit / credit / transfer the amounts between the various segments either on the same Exchange and / or Exchanges to meet my/our obligation or various dues payable to you / Exchange(s).
9. If payment of funds is required, I shall request you in writing or through the web option for funds withdrawal on the web login. Further it may be noted that if required I may revoke this authorization at any time after giving request in writing.
10. This running account authorization would continue until it is revoked by me. The actual settlement of funds shall be done at least once in the preference period selected below: QUARTERLY MONTHLY
11. While settling the account having outstanding obligations on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
12. I shall bring any dispute arising from the statement of account or settlement so made to your notice within 30 working days from the date of receipt of funds or statement, as the case may be else it will be final

Yours faithfully,

CLIENT'S NAME ALIRAZA MOHD HAROON MALIK

CLIENT'S

SIGNATURE [8] X

DATE (DD/MM/YYYY)

2 | 4 | 0 | 5 | 2 | 0 | 2 | 3

eSigned document:

ALIRAZA MOHD HAROON MALIK

24.05.2023 16:41:45

Reason: Upstox Trading and Demat A/C Opening

SMS ALERT FACILITY. Refer to Terms & Conditions given as **Annexure - 2.4** MOBILE NO.+91 | 9 | 6 | 5 | 3 | 6 | 6 | 1 | 8 | 9 | 4 |

[Mandatory, if you are giving Power of Attorney (POA)]

(If POA is not granted & you do not wish to avail of this facility, cancel this option).

TRANSACTIONS USING SECURED TEXTING FACILITY (TRUST). Refer to terms and Conditions **Annexure - 2.6**

I/We 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

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.

I / We wish to avail the following facility:

Basic Services Demat A/C facility: YES NO

OTHER DETAILS

GROSS ANNUAL INCOME DETAILS (Income Range per annum)	NET WORTH AS ON DATE (NOT OLDER THAN 1 YEAR)
<input checked="" type="radio"/> UP TO RS. 1 LAC <input type="radio"/> RS. 1 LAC - RS. 5 LAC <input type="radio"/> RS. 5 LAC - RS. 10 LAC	VALUE IN Rs. <u>0</u>
<input type="radio"/> RS. 10 LAC - RS. 25 LAC <input type="radio"/> MORE THAN RS. 25 LAC	DATE (DD/MM/YYYY) <input type="text"/>

FOR NON INDIVIDUALS: 25 LAC - 1 CRORE OVER 1 CRORE

Occupation Type* S-Service Private Sector Public Sector Government Sector

O-Others Professional Self Employed Retired Housewife Student
 B-Business X- Not Categorised Agriculturist

AFFILIATIONS: POLITICALLY EXPOSED PERSON (PEP) RELATED TO A POLITICALLY EXPOSED PERSON (RPEP)

ANY OTHER INFORMATION:

OPTION FORM FOR ISSUE OF DIS BOOKLET

(OPTIONAL)

DP ID 1 | 2 | 0 | 8 | 1 | 8 | 0 | 1 | BO ID

TO: RKS Securities India Private Limited, 30th Floor, Sunshine Tower, Senapati Bapat Marg, Dadar (W), Mumbai - 400 013

DATE (DD/MM/YYYY) 2 | 4 | 0 | 5 | 2 | 0 | 2 | 3 |

Dear Sir,

I/We hereby state that: (select one of the option given below)

OPTION 1

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account though I/We have issued a Power of Attorney (POA) in favor of RKS Securities India Pvt. Ltd. for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member.

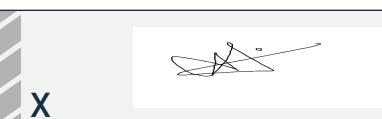
OPTION 2

I/We do not require Delivery Instruction Slip (DIS) for time being. Since I/We have issued a POA/e-DIS in favor of RKS Securities India Pvt. Ltd. for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member. 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 SIGNATURE [9]

SECOND HOLDER SIGNATURE

THIRD HOLDER SIGNATURE



eSigned document:
ALIRAZA MOHD HAROON MALIK
24.05.2023 16:41:45

Reason: Upstox Trading and Demat A/C Opening

FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

Please fill the information below as requested	FIRST ACCOUNT HOLDER	SECOND ACCOUNT HOLDER	THIRD ACCOUNT HOLDER
Name of the Account Holder	ALIRAZA MOHD HAROON MALIK		
Indicate () your Tax Residency / Citizenship / Nationality	<input checked="" type="checkbox"/> India <input type="checkbox"/> U.S.A <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> U.S.A <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> U.S.A <input type="checkbox"/> Others
If ticked on "Others" and/or "U.S.A", please provide all details under point no. 2,3,4,5 below:			
Specify City and Country of Birth			
Specify Country(ies) of Tax Residency/ Citizenship / Nationality / Green card holder, other than India			
Tax Identification Number (for U.S.A.) or its functional equivalent (other than U.S.A.)			
Source of Wealth	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Others <input type="checkbox"/> Prize Money <input type="checkbox"/> Others	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Others <input type="checkbox"/> Prize Money <input type="checkbox"/> Others

DECLARATION

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

- The details furnished above are true to the best of my knowledge and belief and shall undertake to inform RKS Securities India Private Limited within 30 days, in case of any change in the above given status on a future date;
- If I/we am/are U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details, would be reported by RKS Securities India Private Limited to the relevant tax authority. or information may be shared with concerned Asset Management Companies (AMCs) or to any of the Government Agencies / Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India;

FIRST/SOLE HOLDER SIGNATURE [10]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
 X		

What is FATCA / CRS?

The U.S. government introduced the Foreign Account Tax Compliance Act, 2010 (FATCA) for obtaining information on accounts held by U.S. taxpayers in other countries. Further, Organization for Economic Co-operation & Development (OECD) and G20 countries agreed for automatic exchange on information through Common Reporting Standards (CRS). The Government of India has signed an Inter-Government Agreement (IGA) with US and has also joined the Multilateral Competent Authority agreement (MCAA) for automatic sharing of information with member countries of OECD and G20. By virtue of India signing an IGA with US and joining MCAA, Indian financial institutions will have to provide the required financial information to Indian tax authorities which in turn would forward reportable information to US IRS and member countries of OECD and G20 countries.

US Person means: In case of individuals, U.S. person means a citizen or resident of the United States. Persons who would qualify as U.S. persons could be born in United States, born outside the United States of a US parent, Naturalized citizens, Green Card Holders, tax residents.

Who is Reportable Person (Non US) under Common Reportable Standards (CRS)?

Under Common Reportable Standards (CRS), reportable person means Tax residents of a reportable foreign jurisdiction other than U.S. (Please note the above information is provided only for quick reference to customers. You are requested to consult a legal/ tax advisor if in doubt.)

Documents to be collected if Customer's Country of birth is U.S. but declare that he/ she are not a U.S. person

1. Certificate of relinquishment of citizenship (Loss of nationality certificate); OR
2. Self certification for stating reasons for not having such a certificate despite relinquishment U.S. citizenship; OR
3. Self certification for stating reasons for not obtaining U.S. citizenship at birth.

eSigned document:
ALIRAZA MOHD HAROON MALIK
 24.05.2023 16:41:45
 Reason: Upstox Trading and Demat A/C Opening

CONSENT LETTER FOR AVALING BSE StAR MF FACILITY

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Account Opening documents (KYC Form) for the purpose of trading in the Capital Market segment of BSE Limited (BSE).

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

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

I/We are willing to abide by the terms and conditions as mentioned in the BSE Circular dated December 02, 2009 and as may be specified by the Exchange from time to time in this regard.

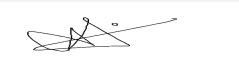
I/We shall ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India (SEBI) and Association of Mutual Funds of India (AMFI).

I/We 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/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund schemes.

I/We therefore request you to register me/us as your client for participating in the BSE Star Mf.

I/We hereby confirm having read and understood the terms & conditions and disclosures provided overleaf.

Your faithfully,

FIRST/SOLE HOLDER SIGNATURE [11]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
 X		

eSigned document:
ALIRAZA MOHD HAROON MALIK
24.05.2023 16:41:45

Reason: Upstox Trading and Demat A/C Opening PAGE 13

Nomination Form

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

TM / DP										FORM FOR NOMINATION <i>(To be filled in by individual applying singly or jointly)</i>														
RKS Securities India Private Limited 30th Floor, Sunshine Tower, Senapati Bapat Marg, Dadar (W), Mumbai - 400 013																								
Date	12	D4	NO	15	Y2	0	2	3	UCC/ DP ID	1	2	0	8	1	8	0	1	Client ID						
I/We the sole holder/Joint holders/Guardian (in case of minor) hereby declare that: <input checked="" type="radio"/> I/We do not wish to nominate any one for this demat account. <input type="radio"/> I/We nominate the following person who is entitled to receive security balances lying in my/our account, Particulars whereof are given below, in the event of my/our death.																								
I/We wish to make a nomination. [As per details given below]																								
Nomination Details																								
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																								
Nomination can be made upto three nominees in the account.					Details of 1st Nominee					Details of 2nd Nominee					Details of 3rd Nominee									
1	Name of the nominee(s) (Mr./Ms.)																							
2	Share of each Nominee	Equally <small>[If not equally, please specify percentage]</small>	<small>%</small>					<small>%</small>					<small>%</small>											
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>																								
3	Relationship With the Applicant (If Any)																							
4	Address of Nominee(s) City / Place: State & Country:																							
		PIN Code																						
5	Mobile / Telephone No. of nominee(s)																							
6	Email ID of nominee(s)																							

eSigned document:
ALIRAZA MOHD HAROON MALIK
24.05.2023 16:41:45
Reason: Upstox Trading and Demat A/C Opening

7	Nominee Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:				
8	Date of Birth {in case of minor nominee(s)}			
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10	Address of Guardian(s)			
	City / Place: State & Country:			
11	Mobile / Telephone no. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
Name(s) of holder(s)				Signature(s) of holder*
Sole / First Holder (Mr./Ms.)				
Second Holder (Mr./Ms.)				
Third Holder (Mr./Ms.)				

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

Note:

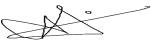
This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

eSigned document:
ALIRAZA MOHD HAROON MALIK
 24.05.2023 16:41:45
 Reason: Upstox Trading and Demat A/C Opening

Declaration Form for opting out of nomination

[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

To	Date	D 2	D 4	M 0	M 5	Y 2	Y 0	Y 2	Y 3	
Trading Member/Participant's Name	RKS Securities India Private Limited									
Trading Member/Participant's Address	30th Floor, Sunshine Tower, Senapati Bapat Marg, Dadar (W), Mumbai - 400 013									
UCC/DP ID	1	2	0	8	1	8	0	1		
Client ID (only for Demat account)										
Sole/First Holder Name	ALIRAZA MOHD HAROON MALIK									
Second Holder Name										
Third Holder Name										
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.										
Name and Signature of Holder(s)*										
ALIRAZA MOHD HAROON M.										
1.			2.							3

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

eSigned document:
ALIRAZA MOHD HAROON MALIK
24.05.2023 16:41:45
Reason: Upstox Trading and Demat A/C Opening

TARIFF SHEET

BO ID DATE (DD/MM/YYYY)

TO: RKS Securities India Private Limited

Dear Sir or Madam,

I would like to subscribe to the RKS Securities India Pvt. Ltd for trading and demat account and request RKS Securities India Pvt. Ltd. to apply brokerage charges as mentioned and as per the terms and conditions of RKS Securities India Pvt. Ltd.

I/We agree to pay the charges as per following charge structure with RKS Securities Private Limited

Account opening fee	<input checked="" type="radio"/> Free	<input type="radio"/> Rs. 149/- [Trading] +GST	Brokerage charges for Equity Delivery - 2.5% or Rs. 20 / per order (Whichever is lower)
	<input type="radio"/> Rs. 199/- [Trading] +GST	<input type="radio"/> Rs. 499/- [Trading] +GST	<input type="radio"/> Rs. 999/- [Trading] +GST
Brokerage - Basic 0.05% or Rs. 20/- (Whichever is lower) per order for Equity Intraday, Futures. For Option, Rs. 20 per order traded.			

CHARGE HEAD	CHARGES
Annual Maintenance Charges	– For individual account : Rs. 0/-
Transaction charges Market / Off Market / Interdepositary Transactions	– Rs. 13/- plus Rs. 5.50/- (CDSL charges) per scrip.
Pledge Charges Creation / Closure and Confirmation of both	– 0.02% of the transaction charges subject to a minimum of Rs. 50/- plus NSDL / CDSL charges at actual.
Pledge Charges for Invocation	– 0.05% of the transaction charges subject to a minimum of Rs. 50/-
Dematerialization Charges	– Rs 20.00 per certificate plus charges of Rs. 50/- per request.
Rematerialization Charges	– For every 100 shares Rs. 25/- part thereof, subject to maximum 5,00,000 or flat fee Rs. 25/- per certificate, whichever is higher.
SLB Charges	– For Securities Borrowings: Rs. 25/- plus NSDL / CDSL charges at actuals. – For Securities Lending: Rs. 25/- plus NSDL / CDSL charges at actuals.
Repurchase / Redemption Charges	– Flat Rs. 25/- per transaction plus Depository charges at actuals.
Failed / Rejected Transactions	– Rs. 50/- per transaction.
Demat Rejection Charges	– Rs. 35/- per rejection for every 500 gms.

In addition to the above monthly subscription charges, the following statutory charges will also be levied at actuals:

1. Securities Transaction Tax, Transaction Charges, Stamp Duty, SEBI Turnover Fees, Clearing Member Charges and GST.
 2. Electronic Contract Notes are free. Physical Contract note copies are charged at Rs. 50 per contract note (for ECN clients) + Courier charges as applicable. Depository Participant charges as levied by RKS. Terms and Conditions can be subject to change provided the same is done as for applicable guidelines of SEBI/exchange.
 3. The terms and conditions of the RKS Securities India Pvt. Ltd. plans have been read and understood by me. I wish to avail the plans above provided by RKS Securities India Pvt. Ltd. for my trading account subject to the terms and conditions mentioned above.
 4. I declare that I have read and understood the terms and conditions governing the RKS Securities India Pvt. Ltd.
 5. Call and trade and square off charges at Rs. 50 will be charged
- Note: Brokerage is also charged on expired, exercised and assigned Futures and Options contracts.

*Disclaimer: For Delivery based trades, a minimum of Rs. 0.01 will be charged per contract note.

Adhoc / Non periodic statement requests – Adhoc statement requests: - Rs. 25/- (Rs 500 for foreign address) per request upto 10 pages. Every additional 5 pages or a portion thereof will be charged at Rs. 10/- plus courier /postage charges.

E-Mail Statement -- Periodic Bills and Transactions statements and other communications will be sent by email, only. Terms and Conditions for the same to be mandatorily executed. Requests for physical statements will be charged as mentioned above.

Cheque Bounce charges -- Charges will be applied based on charges as determined by our bankers.

NOTE: For all purposes the bill date shall be construed as the date of demand and the bills will be considered as the bill cum notice for payment and RKS Securities India Pvt. Ltd. reserves the right to Freeze Depository account for debit transaction in case of non payment of charges after two days from the bill date.

Interest @ 13% p.a will be charged on the outstanding bill amount if not paid within the due date. The above tariff is subject to change. Changes if any be intimated 30 days in advance. GST and other taxes applicable on all above charges.

FIRST/SOLE HOLDER SIGNATURE [14]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
X 	eSigned document: ALIRAZA MOHD HAROON MALIK 24.05.2023 16:41:45	Reason: Upstox Trading and Demat A/C Opening

POWER OF ATTORNEY (VOLUNTARY)

KNOW ALL MEN BY THESE PRESENTS THAT I/WE Mr. / Mrs. / M/s (first holder)

(Second Holder)

(ThirdHolder)

an Individual/ a sole proprietary concern/ a partnership firm /a body Corporate/trust, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the companies Act 1956 or any relevant Act, having his/her/its residence/registered office/place of business at

(hereinafter referred to as " Beneficial Owner ") wish to avail / have availed the broking/ E-broking facilities and other services offered (hereinafter referred to as " Services"), by RKS Securities India Private Limited (hereinafter referred to as"RKS") company incorporated under the companies Act 1956 and having its Corporate offi e at "30th Floor, Sunshine Tower, Senapati Bapat Marg, Dadar(W), Mumbai-400013" and is a Member (Trading Member) of The National Stock Exchange of India Limited (NSE),Bombay Stock Exchange limited (BSE) and Metropolitan Stock Exchange of India Limited (MSEI) Respectively (hereinafter referred to as "the Exchange") and is also a "Depository Participant" registered with Central Depository Services (India) Ltd (CDSL).

WHEREAS

A. The Client is desirous of investing in Securities and has opened / is in the process of opening an account for the purpose of availing stock broking, depository participant, distribution of mutual fund units, other third party financial products, if any and/or other services including but not limited to trading through internet broking services offered through the RKS web portal.

B. RKS has furnished the particulars of various beneficial owners account and the bank account in the scheduled attached hereto where the funds and the securities will be moved and further the client has agreed that RKS is entitled to modify the said particulars from time to time after informing the client about the same.

C. In the course of availing the services and for meeting the settlement Obligation thereof on the Exchanges, I/We do hereby nominate, Constitute and appoint M/s. RKS Securities India Private Limited (Member Broker), Hereinafter referred to as "RKS" acting through their Directors and/or duly authorised staff for the purpose, as my/our true and lawful attorneys for my depository account with RKS Securities India Private Limited (DepositoryParticipant) DPID 1 2 0 8 1 8 0 1

Client ID _____ to execute and perform severally the following acts,deeds, matters and things, provided the attorney complies with all applicable conditions of all or any of their services offered by them in their capacity as stock Brokers.

1. To operate depository account(s)for the purpose of transferring any collateral to the margin account and honouring delivery obligations for any transaction executed with RKS which is registered as a Depository Participant and a stock broker registered with Securities and Exchange Board of India(SEBI).
2. To Sign instruction on my behalf with respect to debit / credit the depository account(s) for the credit or benefit of my/our account with RKS, for the transactions carried by me/us with RKS.
3. To issue instructions relating, executing delivery/receipt instructions, pledge creation instructions, pledge closure instructions, lending and borrowing instructions, to operate the depository account by issue and receipt of instructions for the above mentioned purpose and such other authorization given by me/us severally on behalf of all of us, or all/any of us jointly, in any electronic form, in any format and at any time either through the portal of RKS or through the internet will be validly constituted attorney to intimate the same to the Depository participant for the purposes of debiting or crediting my account opened with the Depository Participant.
4. To validate on my/our behalf any such instruction so given to the Depository Participant(S), in written/physical or other form as may be required by the concerned depository participant.
5. For these purposes and to this extent, RKS is empowered by me/us, to affix their signatures to any document, form or any other record, being a delivery participant, as required by the concerned depository.
6. To transfer funds from the bank account for recovering any outstanding amount due from me/us arising out of our trading activities on the stock exchange through RKS.
7. I/We also undertake to pay such demat charges/fees and such other charges incurred by RKS under this Power of Attorney and that I/ We further authorize RKS to debit my/our account with RKS with the said charges as and when the same becomes due for payment and I/we hereby undertake to pay the same immediately on demand made by RKS.
8. To enter into correspondence with market participant with respect to any transaction in any Investment Products.
9. To forward all such applications placed through the web site to the online -IPO module of the concerned Exchange or owner / issuer of "Investment Product".
10. To receive intimation from the Exchange and any other party regarding the allocation / allotment / rejection / regret of the securities or such other "Investment Product" applications / subscriptions / withdrawal or any other communications.
11. To authorize RKS to invest on behalf of me/us and to hold the mutual fund/ asset management company(ies) based on the request given by me /us. I confirm not to hold such mutual fund/asset management company / RKS liable for any transaction processed based on my/our request to correspond with and give notice to the corresponding asset management company / body corporate(s) / issuer / registrar and transfer agent of securities including giving instructions with regard to nomination/change in investment plans/ any other changes that may be necessitated pursuant to the authorization given by me/ us to RKS in this regard.
12. To transfer funds from the bank account for meeting obligations arising out of my/our subscribing to such other products/facilities/services through RKS like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares in etc.
13. To deposit/ transfer on allotment, the securities,debentures, units of the mutual funds and/or all other investments products applied through RKS, on allotment, to my/our Beneficial Owner Demat Account opened for the purpose with the RKS-DP.
14. To do all other acts and things as may be necessary to affect the subscription/purchase/redemption or any other transaction in any investment Product for which services are availed from RKS.

FIRST/SOLE HOLDER SIGNATURE [15]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
X	eSigned document: ALIRAZA MOHD HAROON MALIK 24.05.2023 16:41:45 Reason: Upstox Trading and Demat A/C Opening	

15. To debit my Trading account towards monies/fees/charges etc. payable to RKSv or to a market participant Service provider or to any of the affiliates/subsidiaries of RKSv by virtue of I/We using /subscribing to any of the facilities/service provided either by RKSv or through a third party service provider or by any other security or financial instrument on behalf of me/us through RKSv or any market participant. To bind ourselves with respect to any instruction given by first holder or any other holder to RKSv.

16. In case of any erroneous transfer done by attorney, the attorney may return the same to my account as soon it comes to their notice.

17. To send the consolidated summary of client wise scrip wise buy and sell position with average rates by email.

18. To authorize RKSv to transfer the securities to any of the demat accounts of RKSv as mentioned in Annexure B.

19. To do or omit to do all such act and things as TSL may in its discretion consider to be necessary or desirable in order to exercise its power hereunder or comply with any law, order rules, regulations or directions of any government or regulatory or other authorities.

20. We the joint holders of demat account agree ,ratify and confirm to bind ourselves to any instructions given by the client herein above mentioned who shall be the exclusive beneficiary of the transactions carried out pursuant to this Power of Attorney in favour of the Director/(S) and/or the Authorized Signatories, who have in token thereof, subscribed their signature thereto.

That the Power of Attorney herein referred to is revocable at any time without notice subject to such revocation shall not be applicable for any outstanding settlement obligation arising out of the trades carried out prior to receiving request for revocation of POA. That, I/We hereby declare that all the actions taken by my/our above mentioned attorney(herein RKSv) in this regards shall be deemed to be action done by me/us and if necessary shall be ratified by me/ us on the instruction of the said attorney and that such actions will be binding on me/us. I/We agree that RKSv is entitled to credit the proceeds of any instruction. This document shall be subject to the jurisdiction of the courts in New Delhi. In witnesswhereofl/We have executedthis revocable Powerof Attorneyon the day, dateandyear hereinbelowmentioned.

ANNEXURE B

PARTICULARS	DP ID	CLIENT ID
CDSL BSE PRINCIPAL A/C	16014800	00283859
CDSL NSE POOL A/C	16014800	00282534
CDSL CLIENT MARGIN A/C	12081800	00011954

PARTICULARS	DP ID	CLIENT ID
CDSL NSE EARLY PAY-IN A/C	11000011	00019441
CDSL BSE EARLY PAY-IN A/C	11000010	00022152

Dated at Mumbai on this _____ day of _____

SIGNED AND DELIVERED by the within names the Beneficial Owner

FIRST/SOLE HOLDER SIGNATURE [16]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
X		

Witness 1
NAME:
ADDRESS:
SIGNATURE:

Witness 2
NAME:
ADDRESS:
SIGNATURE:

FOR OFFICE USE ONLY	
We Accept	RKSv Securities India Private Limited 30th Floor, Sunshine Tower, Senapati Bapat Marg, Dadar (W), Mumbai - 400 013 For RKSv Securities India Private Limited
SIGNED AND DELIVERED by the within named the Participant: by the hand of its authorized representative:	Authorised Signatory

eSigned document:
ALIRAZA MOHD HAROON MALIK
24.05.2023 16:41:45
Reason: Upstox Trading and Demat A/C Opening

ACKNOWLEDGEMENT LETTER

TO: RKS Securities India Private Limited
30th Floor, Sunshine Tower,
Senapati Bapat Marg,
Dadar (W),
Mumbai - 400 013

Dear Sir or Madam,

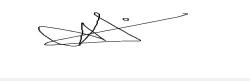
I/We hereby acknowledge receipt of the following documents

1. Rights and Obligations of Stock Brokers, Sub-brokers and Clients (including additional rights & obligations in case of internet / wireless technology based trading).
2. Risk Disclosure Document for Capital Market and Derivatives Segments.
3. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors.
4. Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009.
5. The RKS Securities Tariff sheet.
6. General Terms and Conditions governing securities trading and broking services of RKS Securities India Pvt. Ltd.
7. All other mandatory and voluntary client registration documents.
8. I/We hereby acknowledge the receipt of duly executed copy of KYC and all other documents as executed by me/us.
Further I confirmed that the documents for KYC submitted by me are true and correct.

I/We understand that the Voluntary documents executed by me/us are out of my/our own free will.

I state that I have read and understood all above documents and these documents are binding upon me.

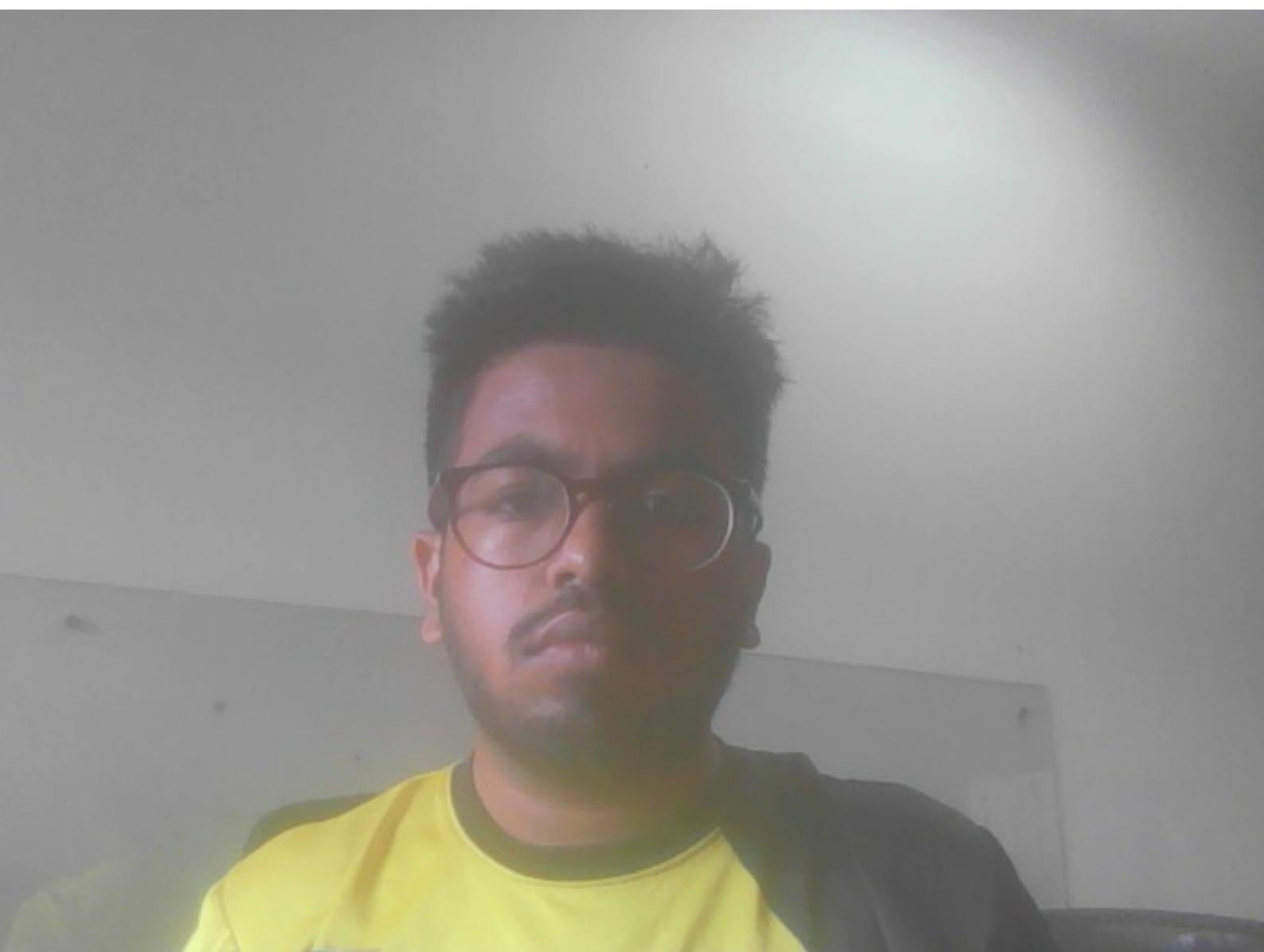
Yours faithfully,

FIRST/SOLE HOLDER SIGNATURE [17]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
 X		

DATE (DD/MM/YYYY) | 2 | 4 | 0 | 5 | 2 | 0 | 2 | 3 |

eSigned document:
ALIRAZA MOHD HAROON MALIK
24.05.2023 16:41:45
Reason: Upstox Trading and Demat A/C Opening

PAGE 20



eSigned document:
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24.05.2023 16:41:45
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