

ACCOUNT OPENING FORM ► INDIVIDUAL



Branch	AP Code	BO ID	Trading Code	DP AMC Scheme
ANDHERI		12024700 60005	2 AAA901	
Equity Introducer	Commodity Introducer	Equity RM	Commodity RM	Form No.
				00049

INDEX OF DOCUMENTS

S. No.	Name of the Document	Brief Significance of the Document	Page No.
	MANDATORY DOCUMENTS AS	PRESCRIBED BY SEBI & EXCHANGES	
1.	KRA Form and Account Opening Form	KYC Form - Document captures information about the constituent	1 - 4
2.	Tariff sheet	Document detailing the rate / amount of brokerage & other charges levied on the client for trading on stock exchange(s) & DP Service charges / Fee Structure	5
3.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	ALSO av.com
4.	Rights and Obligations	Document stating the Rights & Obligations of stock broker / trading member / Authorised Person and client for trading on exchange (including additional rights & obligations in case of internet / wireless technology based trading) & of Beneficial Owners and Depository Participants	SEPARATE COPY FOR CLIENT ALSO AVAILABLE ON www.mangalkeshav.com
5.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market	RATE (
6.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors	SEP/ AVAIL
	VOLUNTARY DOCUMENTS AS	PROVIDED BY THE STOCK BROKER	
1.	Client Declaration	Declaration with regards to open interest position, high value transaction	6
2.	Client Authorisation	Authorisation to maintain Running Account	6
3.	Client Declaration	Declaration for availing regular Demat Account facility	6
4.	Voluntary Terms & Conditions	Additional terms & conditions specific to clients for the p operational efficiency (separate copy for client also available on www.m	

IMPORTANT NOTE

1. Signature Types:



Signature of Client / First Holder



Signature of Second Holder



Signature of Third Holder



Signature of Introducer



Signature of Guardian



Authorised Signatory



Signature of First Witness



Signature of Second Witness

2. In case of any correction in the form - Sign next to the correction done & Sign has to match the original signature

IMPORTANT INSTRUCTIONS

- 1. All details to be filled in Capital Block letters in Black / Blue Ink Only.
- 2. Email ID & Mobile number is mandatory for account related passwords and transaction details.
- 3. Corrections in the KYC form should be counter signed.
- 4. Strike off whichever option, in the account opening form, is not applicable.
- 5. All Originals to be produced for physical verification.
- 6. If any proof of identity or address is in a regional language, then translation into English is required.
- 7. Sole proprietor must make the application in his individual name & capacity.
- 8. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.

CHECKLIST FOR KYC (PLEASE TICK WHEREVER APPLICABLE) CKYC Reference No.: Valid Documents (Copies of all documents to be self attested) Please Tick Account Holder & Joint Holder's (If any) **PAN Card Photograph** One Colored Passport Size Photograph a. PAN Card ✓KRA document used b. Voter ID (Email Id & **Additional Proof of** c. Valid Passport Phone number **Identity** (Any One) d. Valid Driving License to be provided on e. Unique Identification Number (UID) (Aadhaar) given KRA Form) Other (Pls. Specify) a. Voter ID **Proof of Address** b. Valid Passport (Any One) c. Valid Driving License Permanent / d. Unique Identification Number (UID) (Aadhaar) Correspondence ✓ KRA document used f. Electricity Bill (not more than 3 months old) g. Resident Landline Tel. Bill (not more than 3 months old) h. Other (Pls. Specify) a. Bank Statement / Bank Passbook with cheque leaf (not more than 3 months old) **Bank Proof With** MICR / IFSC Code b. Banker's Certificate on letter head of the Bank (ORIGINAL) (1st Holder only) c. Cancelled Personalized Cheque leaf / Penny drop a. Client Master (CML copy duly attested by DP) Demat Proof (Any One) (1st Holder only) b. DP Statement / Transaction cum Holding Statement (Duly attested by DP) a. Copy of latest ITR acknowledgment **Proof of Income** (Any b. In case of salary income - Salary Slip, Copy of Form 16 One) Mandatory for Net-worth certificate (Not more than 1 year old) **Derivatives Segments**) d. Copy of Demat Account Holding Statement (not more than 3 months old) (1st Holder only) e. Bank Account Statement for last 6 months reflecting income FATCA / CRS Declaration / Self Certification For Individual: Client Name SHRAF SALIM KHAN First Holder **Second Holder Third Holder** Are you Indian Resident Person? 1. ✓ Yes No Yes No No Yes (Refer Risk Disclosure Document at www.mangalkeshav.com) Specify country of residence for tax nurnose

2.	(If above clause is no)			
3.	Specify Tax Identification No. / Others			
	e: If you are a U.S. person and / or if your tax residency / na declaration form can be downloaded from www.mangalke			
\(\frac{\times 1}{1/1}	4 Signature of 1st Holder)9 Signature of 2nd	Holder 2/9	Signature of 3rd Holder





KNOW YOUR CLIENT (KYC) | APPLICATION FORM (FOR INDIVIDUALS ONLY)

	in BLOCK LETTERS with black/blue ink & tick the		Application No:	ONET
A. IDENTITY DETAIL	S			
1. Name of Applican	t ASHRAF SALIM KHAN			
Father's/ Spouse Nar	ne SALIM ABDUL MUNAF			PHOTOGRAPH
2. Mother Name	SHAMIM			Paste color passport size
3. a. Gender	☐ Male ☐ Female b. Da	ate of birth 31	-03-2000°Y	photo & sign
c. Marital Status	Single 4. Nationality 🗸 Indian	Other		across it
	Married NRI Re	epatriable 🔲 NF	RI Non-Repatriable	Signature of 1st Holder
5. Status	✓ Resident Individual Non Re	esident Individual		2/14
6. PAN	HCAPK4259Q	7. Aadhaar NA		
8. Specify the proof	of identity submitted: PAN Card			
B. ADDRESS DETAIL	LS			
1. Correspondence Address	S O SALIM KHAN ,KUTTIWA BANERJEE CHAWL, 1 9 ,CRO			
City/Town/Village	MUMBAI	Pin Code	400017	
State	MAHARASHTRA	Country	INDIA	
2. Contact/Mobile No	8779559898	Tel (Res.)		
Tel (Off.)		Email id	ASHRAFKSALIM1	@GMAIL.COM
3. Specify the proof	of address submitted for Correspondence	e Address:		
4. Permanent Addre (if different from above correspondence address)	ss		✓ Same as corr	espondence address
City/Town/Village		Pin Code		
State		Country		
5. Occupation (Please tick)	□ S-Service ✓(□ Private Sector □□ O-Others (□ Professional □		Govt Sector) Retired Housew	rife ☐ Student)
	☐ B-Business ☐ X-Not Categorised			
6. Specify the proof	of address submitted for Permanent Addr	ress:		
DECLARATION				
	tails furnished above are true and correct to the best of m the above information is found to be false or untrue or mis			
Place	MUMBAI	Cianatura of Ar	onlinent —	
Date	07/12/2021/Y	Signature of Ap	3/14	Signature of 1st Holder
	FOR OFFICE	LISE ONLY		
Details of	Mangal Keshav Financial Ser			
Employee/AP	Documents verified with Originals & In-Pers		e by	
Name & E Code	2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	romodion don	legnem (Financial Solution (Solution)
Designation				<u></u>

Date / Place

	ADI	DITIONAL KYC I	DETAILS FOR DEM	AT & TRADI	NG ACCOUNT
TYPE OF ACCOU	UNT: 🗹	Individual	Sub Status	✓ Resident	Other
A. BANK ACCO	UNT DETA	AILS	✓ Savings		Current
Bank & Branch	State B	ank of India,DHA	RAVI,MUMBAI		
Account No.	399813	374255			
MICR				IFSC	SBIN0003671
B. DEPOSITORY	ACCOUN	NT DETAILS (DP1 DE	ETAILS CONSIDERED F	OR PAYOUT OF	SECURITIES IF FILLED)
Depository	✓ CDS	L			
DP Name	Mangal	Keshav Financial Ser	vices LLP		
Client Name	ASHRA	AF SALIM KHAN			
DP ID	1202470	00			
BO ID	120247	00 600052			
C. TRADING PR	EFERENC	ES *Please sign in the re	elevant boxes where you wish to	trade. The segment r	not chosen should be struck off by the client
Exchanges	Segmer	nt		Client	Signature
NSE / BSE	Cash / N	/lutual Fund	Signature of Applicant	4/14	
			3 11	4/14	Signature of 1st Holder
NSE / BSE	Future 8	Options	Signature of Applicant	<u>></u> 5/14	
NOE / BOE			To graduate or a pp. 1000	5/14	Signature of 1st Holder
NSE / BSE	Currenc	y Derivative	Signature of Applicant	6/14	
11027 802		,	- cignatare or approach	6/14	Signature of 1st Holder
# If, in future, the o	client want	s to trade on any new	segment/new exchange,	separate authori	zation/letter should be taken from the client
by the stock broke	r.				
D. PAST ACTION	NS				
					any other authority against the applicant / dealing in securities during the last 3 years:
✓ No		If yes, please sp	pecify		
E. INTRODUCER	R DETAILS	3			
Status of Introdu	ucer 🗌 /	AP Employee	☐ Existing Client ☐ 0	Others (Specify):	
Introducer Name	e:			AP/Emp/Clie	ent Code:
Address of AP:					
Mobile No:					
			Signat	ure of the Intro	ducer
F. DEALING THE	ROUGH A	UTHORISED PERSO	N (AP) / OTHER STOCK	BROKERS	
If Yes, please spe			(-)	Broker Memb	er ID
Name of Broker/	•			SEBI Registratio	
Name of Exchange				Trading (
		nding from/to such st	ock broker:		1
Whether you are	a Member	· / AP of any Exchang	e	s 🗌 No	

G. STANDING INSTRUC	CTIONS / OTHER DETAILS	/ EMAIL-SMS A	LERT / CONTR	RACT NOTE P	REFERENCE			
Contract Note / Holding	& Transaction Statement incl	luding CAS / Ot	ner Documents		☐ Physic	cal 📝 Electronic		
To receive / accept each	and every credit and pledge	instruction in m	y account		✓ Yes	☐ No		
To share email id with Re	egistrar & Transfer Agent (RT	ΓΑ)			✓ Yes	☐ No		
Dividend / Interest to rec		✓ Yes	☐ No					
To avail facility of Interne	✓ Yes	☐ No						
To receive Annual Repor	✓ Yes	☐ No						
To receive Delivery Instru	✓ Yes	☐ No						
Basic Services Demat A	✓ Yes	☐ No						
DP Account Statement		✓ Monthly	Fortnightly	/ Weekly	☐ As per S	SEBI Regulation		
Declaration for Email		✓ Self	Spouse	Child	Parent			
Declaration for Mobile N	umber	✓ Self	☐ Spouse	Child	Parent			
Note: To register for Easi ple	ease visit website www.cdslindia.c	com, where BO ca	n view ISIN baland	ces, transactions	& portfolio onlin	10.		
H INFORMATION FOR	PREVENTION OF MONEY	LAUNDERING	ለርፒ 2002 ዴ ሰ ገ	THER DETAIL	e e			
Experience	Number of years of Investr				.0			
Experience	☐ Below 1 lac ☐ 1-5		•		>25 Lacs			
Gross Annual Income				n date DD / M				
	Name:	worth should not be older th	an i year) as Ui	Tuale DD / IVI	PAN			
Guardian Details	CKYC Reference No.:				Relation			
Is the Client Politically	Exposed Person (PEP) or	Related to a Pi	P 🗸 Yes	No	Neialioi i			
13 the offent i offically	Exposed i erson (i Ei) or	iverated to a r i	-i V 168	L INU				
I. GST REGISTRATION	DETAILS							
Registration No.		Regis	tration Date		State Na	ame		
GSTIN No:		DD /	MM / YYYY					
DECLARATION								
	ulars furnished above are true & co	orrect to the best o	f my / our knowled	ge & belief. I / We	e agree & undert	take to intimate the DP /		
	n the details therein immediately. I er my account liable for termination		that any false / misl	eading information	on given by me / ι	us or suppression of any		
	·		of the 'Rights and (Obligations Docu	ment' for trading	and DP Services, 'Risk		
I/ We confirm having received, read/been explained and understood the content of the 'Rights and Obligations Document' for trading and DP Services, 'Risk Disclosure Document', 'Guidance Note' and agree to abide by and be bound by the same and by the Bye-Laws as are in force from time to time. I/We also confirm having received, read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.								
I / We have also the inform www.mangalkeshav.com.	med that the standard set of de	ocuments has be	en displayed for i	information on s	stock broker's d	designated website i.e.		
8/14	Signature of 1st Holder		Signature of 2nd Holder	2/9		Signature of 3rd Holder		
Place:				Date	e: DD / MM / Y	YYY		

NON	ЛIN	ΔΤΙ)N I	FO	RM
	411111	A 1 II L'	4		B 11/1

- ☐ 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.
- I/We do not wish to nominate any one for this Demat & Trading account.

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]

☑ I/We do not wish to nominate any one for this Demat & Trading account.

Dated 07/12/2021

UCC Code				Α	AA9	01						
DP ID	1	2	0	2	4	7	0	0				
Sole/First Holder Name												
Second Holder Name												
Third Holder Name												

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our 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)*



^{*} Signature of witness, along with name and address are required. If the account holder affixes thumb impression, instead of signature

BROKERAGE DETAILS

Margin Collected:

	BROKERAGE PLAN											
Equity Equity Delivery Equity Futures Currency Options												
Segment	%	Min (Paisa)	%	Min (Paisa)	%	Min (Paisa)	%	Min (Paisa)	Index (₹)	Stock (₹)	Bank Nifty (₹)	Currency (₹)
1st Leg												
2nd Leg												

	CHARGES FOR D	EPOSITOR	RY SERVICE	S				
Sr.	Services	Schemes (Please Select)						
П		Lifetim	ne AMC	Investor	BSDA			
		1250	<u> </u>	√ 300				
1.	Deliveries / Debit transaction (per ISIN) Within MKFSL Outside MKFSL	Rs. 11/- Rs. 21/-	Rs. 25/- Rs. 35/-	Rs. 11/- Rs. 21/-	Rs. 50/- Rs. 70/-			
2.	Charges for Pledge creation/closure/invocation and Re-Pledge (per ISIN)	Rs. 21/-	Rs. 50/-	Rs. 25/-	Rs. 100/-			
3.	Margin Pledge Creation, Closure, Invocation	Changes Amount (Exclusive of GST)*						
	(per ISIN per instance)	Rs. 12/-	Rs. 12/-	Rs. 12/-	Rs. 12/-			
4.	Margin Pledge Creation, Closure, Invocation for MTF Client (per ISIN per instance)	Rs. 24/-	Rs. 24/-	Rs. 24/-	Rs. 24/-			
5.	Dematerialization (per Certificate) Postal Charges	Rs. 10/- Rs. 30/-	Rs. 20/- Rs. 60/-	Rs. 10/- Rs. 30/-	Rs. 40/- Rs. 120/-			
	Rematerialization (per Certificate)	Actual CDSL charges						
6.	Postal Charges	Rs. 30/-	Rs. 60/-	Rs. 30/-	Rs. 120/-			
7.	Demat Rejections (per Certificate)		Rs. 30/-		Rs. 60/-			

Note:

- 1. ISIN would be debited in the client ledger.
- 2. In case of every corporate account, CDSLAMC of Rs. 700/- & transaction charges of investor scheme will be applicable.
- 3. CDSL levied Rematerialization charges as higher of (i) Afee of Rs. 10/- for every 100 securities or part thereof: **OR** (ii) A flat fee of Rs. 10/- per certificate.
- 4. STT, SEBI turnover fees, stamp duty, transaction charges, GST, transaction charges & other statutory levies/CESS (if any) shall be levied as per prevailing rates.
- $5. \quad Rs.\,25/-\,per\,request/\,booklet\,will\,be\,charged\,for\,additional\,DIS\,requisition,\,account\,statement,\,holding\,with\,valuation,\,account\,modification,\,freeze\,\&\,unfreeze\,etc.$
- 6. Charges levied on account of cheque return, wrong reporting of cheques, DP scheme charges, duplicate statements etc. may be recovered from your account.
- 7. Clearing charges will be charged as per below mentioned rates (charges per crore):

Segment	Futures (On Turnover)	Options (On Premium)
Equity / Currency Derivatives	35	2500

- 8. Mangal Keshav Financial Services LLP reserves the right to change the charges for depository services from time to time at its sole discretion, under 30 days prior intimation to clients either by way of ordinary post or by an email and by notification on the back office interface.
- 9. Minimum 70% turnover should be through online trading platform for online brokerage slab applicability.
- 10. Brokerage levied to your trading account shall be the higher of brokerage value as per existing rates or Rs. 30/- per settlement/segment subject to maximum rate prescribed by regulator time to time.
- 11. The scheme opted as per above table, will continue till we receive any change request from client.

10/14	Signature of 1st Holder	4/9	Signature of 2nd Holder	4/9	Signature of 3rd Holder
Name:	1st Holder	Name:	2nd Holder	Name:	3rd Holder

CLIENT DECLARATIONS AND AUTHORISATION

- One Time Declaration About High Value Transactions: I / We do hereby declare that being your client, I/We propose to undertake high value transactions (say Rs. 5 lakh and above or such other sum as may be prescribed by Regulator / NSE/BSE or any other authority from time to time) in a day on NSE / BSE through you as my/our equity / commodity broker. By this one time declaration, please note that the said transaction(s) would be for and on my/our be for and on my/our behalf and entirely for my/our profit or loss only. I/We also declare that the transactions would not be carried out for any unauthorized / unregistered authorized person or for and on behalf of any other person / entity.
- Running Account Authorisation: I / We request you to maintain my / our accounts on running accounts basis instead of 'bill to bill' settlement basis, unless I / we specifically request you for a payout of available free balance in the account. You may settle the accounts at Monthly / Quarterly (strike off whichever is not applicable, else the option will be considered as Quarterly) or at such other intervals as SEBI / Stock Exchanges may specify from time to time. I / We further authorize you to retain such amount as may be permitted by Stock Exchanges / SEBI from time to time or towards other unbilled services and/or charges applicable on my account, while settling the accounts. I / We any other sum as may be permitted by SEBI / Stock Exchanges from time to time, while settling my / our account. I / We understand and agree that no interest will be payable on the amount of funds retained by you as above. I / We agree that MKFSL shall not be liable for any claim for loss or loss of profit or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such funds. The standing instruction / authorization for maintaining my / our account as running account shall remain valid until revoked in writing, addressed to you.

B	
12/14	Signature of 1st Holder
	Olgitature or rat rioluer



7/9	
113	Signature of 3rd Holder

DECLARATION FOR AVAILING REGULAR DEMAT ACCOUNT FACILITY

VOLUNTARY DOCUMENT

(To be submitted by Demat Account holders who are eligible for BSDA facility but voluntarily opt for Regular Demat Account)

To:

Mangal Keshav Financial Services LLP

501, Heritage Plaza, J.P. Road, Andheri (W), Mumbai – 400053.

Dear Sirs,

I/ We have read and understood the regulatory (SEBI and Depository) guidelines relating to Basic Demat Services Account (BSDA). However, I/we do not wish to avail the BSDA facility for my/ our Demat Account

I/We hereby specifically opt to avail the facility of a Regular Demat Account for my/ our Demat Account mentioned below. I/We agree to pay the annual account maintenance and other charges as applicable to Regular accounts as informed by you from time to time.

DP ID	CLIENT ID		
12024700			

This letter will remain valid until it is withdrawn in writing by me/ us.

Yours truly,

	Name of the Account Holder	Signature	PAN
Sole/First Holder	ASHRAF SALIM KHAN	14/14	HCAPK4259Q
2 nd Holder		9/9	
3 nd Holder		9/9	

Date: 07/12/2021

Place: MUMBAI





Mangal Keshav Financial Services LLP

Registered and Correspondence Office:

501, Heritage Plaza, J.P. Road, Opp. Indian Oil Nagar, Andheri (West), Mumbai - 400 053.

Tel.: 022-6190 7900/9000 I Fax: 6679 0535 I Email:kyc@mangalkeshav.com I Website: www.mangalkeshav.com

Compliance Officer: Mr. Gyan Prakash | Tel.: 022-6190 7900/9000 | Email:gyan@mangalkeshav.com

Designated Partner Name: Mr. Ajay Shah | Tel.: 022-61907900/9000 | Email ID: ajay@mangalkeshav.com

Registration Details:

BSE INB INZ000166334 Date of Reg.: 19-06-2018 • BSE FO INZ000166334 Date of Reg.: 19-06-2018 NSE INB INZ000166334 Date of Reg.: 19-06-2018 • NSE FO INZ000166334 Date of Reg.: 19-06-2018

NSE CURRENCY INZ000166334 Date of Reg.: 19-06-2018

CDSL AND NSDL IN-DP-358-2018 Date of Reg.: 03-04-2018.

Professional Clearing Member Details

Globe Capital Market Limited

609, Ansal Bhawan, 16, K. G. Marg, Connaught Place, New Delhi-110 001 (India),

Phones: 91-11-30412345 (30 Lines) | Fax: 91-11-23720883 | 91-11-23766739

For any grievance/dispute please contact the Compliance Officer of **Mangal Keshav Financial Services LLP** at the registered address of the company or Email: investorgrievances@mangalkeshav.com and Tel.: 022-6190 7900. In case not satisfied with the response, please contact the concerned exchange(s) BSE at is@bseindia.com, Tel.: 022 2272 8097, NSE at ignse@nseindia.co.in Tel.: 022 2659 8100



