

Client Registration Form

Individual & Non-Individual

Sapphire Broking

Trading Member: NSE, BSE & MCX

Client Name: _____

Client Code: _____

LEFT BLANK ON PURPOSE

Sapphire Broking

Trading Member

BSE Ltd. (BSE)

National Stock Exchange of India Ltd. (NSE)

Multi Commodity Exchange of India Limited (MCX)

Association of Mutual Fund of India (AMFI)

SEBI Registration No.: INZ000329823

AMFI Registration No.: ARN-333966

BSE Registration No.: 6957

NSE Registration No.: 90481

MCX Registration No.: 57565

BSE Star MF Registration No.: 64321

NSENMF Invest Registration No.: 1027161

Registered Office: Appt. 202, Second Floor, House No. 6616/A/7, Samadhan Tower, Plot No. 7, Sadbhawana Nagar, Manewada Rd, Nagpur, Maharashtra – 440027

Phone: 0712-2996300 **Email:** support@sapphirebroking.com

Website: www.sapphirebroking.com

Managing Partner

Mr. Nakul Thakur

nakul.thakur@sapphirebroking.com

Ph.: 0712-2996300

Compliance Officer

Mr. Yash Katyari

compliance@sapphirebroking.com

Ph.: 0712-2996300

For any grievance/dispute please contact **Sapphire Broking** at the above address or email us at support@sapphirebroking.com and Phone no.: 0712-2996300. In case not satisfied with the response, please contact the concerned exchange (BSE) bsehelp@bseindia.com and call at 022-27524949, (NSE) ignse@nse.co.in and call at 18002660050, (MCX) ig-mcx@mcxindia.com and call at 02266318888, and you can also raise at SEBI score portal at <https://scores.sebi.gov.in/>

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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction / check list.	8-12
		B. Document captures the additional information about the constituent relevant to trading account and an instruction / check list.	13-16
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology-based trading).	Given to client with Welcome Kit
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	
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INSTRUCTIONS / CHECKLIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- Self-attested copy of PAN card is mandatory for all the clients including promoters.
- Copies of all documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original 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.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor should make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card /OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor or, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- 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:

- 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).
- Unique Identification Number (UID) (Aadhaar)/Passport /Voter ID card/Driving license.
- Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their members; and Credit cards/Debit cards issued by Banks.

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

- Passport / Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook- Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- 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.
- 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.
- For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarification to PAN

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

- 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.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50,000/- p.a.
- In case of institutional clients, namely, FIIs, Mis, 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:

- 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).
- In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

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

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year) Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year) Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day-to-day operations Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly Copies of the Memorandum and Articles of Association and certificate of incorporation Copy of the Board Resolution for investment in securities market Authorised signatories list with specimen signatures
Partnership firm	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year) Certificate of registration (for registered partnership firms only) Copy of partnership deed Authorised signatories list with specimen signatures Photograph, POI, POA, PAN of Partners
Trust	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year) Certificate of registration (for registered trust only). Copy of Trust deed List of trustees certified by managing trustees/CA Photograph, POI, POA, PAN of Trustees
HUF	<ul style="list-style-type: none"> PAN of HUF Deed of declaration of HUF/List of coparceners Bank pass-book/bank statement in the name of HUF Photograph, POI, POA, PAN of Karta
Unincorporated Association or a body of individuals	<ul style="list-style-type: none"> Proof of Existence/Constitution document Resolution of the managing body & Power of Attorney granted to transact business on its behalf Authorized signatories list with specimen signatures
Banks/ Institutional Investors	<ul style="list-style-type: none"> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years Authorized signatories list with specimen signatures
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> Copy of SEBI registration certificate Authorized signatories list with specimen signatures
Army/Government Bodies	<ul style="list-style-type: none"> Self-certification on letterhead Authorized signatories list with specimen signatures
Registered Society	<ul style="list-style-type: none"> Copy of Registration Certificate under Societies Registration Act List of Managing Committee members Committee resolution for persons authorised to act as authorised signatories with specimen signatures True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

KYC CHECKLIST FOR INDIVIDUAL (PLEASE TICK WHEREVER APPROPRIATE)

Acceptable Documents (Copies of all documents to be self-attested)		Please Tick
PAN Card	Account Holder & Joint Holder's (If any)	
Photograph	One Coloured Front Face Photograph on photographic Paper (Passport Size)	
Proof of Identity (Any One)	1. Unique identification number (UID) (Aadhaar)	
	2. Valid Passport (Name, Address & Photo page)	
	3. Voter ID (front and back)	
	4. Valid Driving License (Name, Address & Photo page)	
	5. Proof of Possession Aadhaar, E-KYC Authentication & Offline Verification of Aadhaar.	
	6. NREGA Job Card, National Population Register Letter	
	7. Other 1 (Pls. Specify) _____	
Proof of Address (Any One) Permanent / Correspondence	1. Valid Passport (Name, Address & Photo page)	
	2. Voter ID (front and back)	
	3. Valid Driving License (Name, Address & Photo page)	
	4. Unique identification number (UID) (Aadhaar)	
	5. Electricity Bill / Gas Bill (not more than 2months old)	
	6. Resident Landline Tel. Bill (not more than 2 months old)	
	7. Registered Lease/Leave & License Agreement	
	8. NREGA Job Card, National Population Register Letter	
	9. Proof of Possession Aadhaar, E-KYC Authentication & Offline Verification of Aadhaar.	
Bank Proof with MICR / IFSC Code (1st Holder only)	1. Bank Statement / Bank Passbook with cheque leaf (not more than 3 months old)	
	2. Banker's Certificate on letter head of the Bank (ORIGINAL)	
	3. Cancelled Personalized Cheque leaf	
Demat Proof (Any One) (1st Holder only)	1. Client Master (CML copy duly attested by DP)	
	2. DP Statement / Transaction cum Holding Statement	
Proof of Income (Any One) (Mandatory for F&O / Currency / Commodity Segments) (1st Holder only)	1. Copy of ITR Acknowledgement	
	2. In case of salary income - Salary Slip, Copy of Form 16	
	3. Net-worth certificate (Not more than 1 year old)	
	4. Copy of Demat Account Holding Statement	
	5. Bank Account Statement for last 6 months reflecting income	

A. Clarification/Guidelines on filling Personal Details section

1. The name should match exactly with the name mentioned in the Proof of Identity (PoI) submitted; otherwise, the application is liable to be rejected.
2. One of the following is mandatory: Mother's name, Spouse's name, or Father's name.

B. Clarification / Guidelines on filling Current Address Details section

1. In case of deemed Proof of Address (PoA) such as a utility bill or self-declaration, the document need not be uploaded on CKYCR.
2. PoA must be submitted only if the submitted PoI does not have the current address or if the address as per PoI is invalid or not in force.
3. In Section 2, Proof of Address need to be mentioned.
4. In Section 3, Proof of Address need to be mentioned.
5. List of documents for 'Deemed Proof of Address':
 - Utility bill not more than two months old from any service provider (electricity, telephone, post-paid mobile, piped gas, water bill).
 - Property or municipal tax receipt.
 - Pension or family pension payment orders (PPOs) issued to retired employees by government departments or public sector undertakings, if they contain the address.
 - Letter of allotment of accommodation from an employer issued by government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions, and listed companies; and leave and licence agreements with such employers allotting official accommodation.
6. The Regulated Entity (RE) shall redact the first 8 digits of the Aadhaar number from Aadhaar-related data and documents such as proof of possession of Aadhaar before uploading to CKYCR.
7. "Equivalent e-document" means an electronic equivalent of a document issued by the issuing authority with its valid digital signature, including documents issued to the client's digital locker account as per applicable rules.
8. The 'Digital KYC process' must be carried out as stipulated in the PML Rules, 2005.
9. REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and the client wishes to provide a current address different from the one available in the identity information in the Central Identities Data Repository.

C. Clarification / Guidelines on filling Contact Details section

1. Do not add '0' at the beginning of the mobile number.

D. Clarification / Guidelines on filling Related Person Details section

1. Provide the KYC number of the related person, if available.

E. Clarification on Minor

1. Guardian details are optional for minors above 10 years of age for opening a bank account.
2. If guardian details are available for a minor above 10 years of age, the same (or the CKYCR number of the guardian) is to be uploaded.

ACKNOWLEDGEMENT LETTER

To,

Sapphire Broking

Dated _____

Regd. Office: Appt. 202, Second Floor, House No. 6616/A/7,
Samadhan Tower, Plot No. 7, Sadbhawana Nagar,
Manewada Rd, Nagpur, Maharashtra – 440027

Dear Sir/ Madam,

I hereby opt to get the document listed below in-

☐ Electronic Form ☐ Physical Form

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. 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.

Yours faithfully,



(Signature of Client)

INTIMATION BY THE MEMBER FOR PROPRIETARY TRADING

Dear Constituent,

Under instruction of SEBI, National Stock Exchange of India Ltd. (NSE), Multi Commodity Exchange of India Ltd. (MCX), BSE Limited (BSE) has directed all its members to inform their clients whether they engage in proprietary trading in this regard we wish to inform you that we do engage in proprietary trading in the Cash, F&O & CDS of NSE and MCX.

Kindly take note of the above and oblige.

For **Sapphire Broking**

I have read the above letter

SAPPHIRE BROKING


PARTNER

Authorised signatory



Signature of Client

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



Please fill the form in ENGLISH and in BLOCK letters

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

Application No: _____

Application Type:

☐ New KYC ☐ Modification KYC

KYC Mode*: Please Tick (✓)

☐ Online ☐ Offline

☐ Other: _____

1. PERSONAL DETAILS

Name* (Same as ID proof) _____

(If any*) Maiden Name _____

Father/ Spouse Name _____

Mother Name _____

Date of Birth* ____ - ____ - ____

PAN* _____

Gender* ☐ Male ☐ Female ☐ Other

Marital Status* ☐ Married ☐ Unmarried ☐ Other

Residential Status* ☐ Residential Individual ☐ Non-Residential Indian
☐ Foreign National ☐ Person of Indian Origin

Nationality* ☐ Indian ☐ Others

Proof of Identity* ☐ PAN ☐ Others (Specify) _____

PHOTO



Cross Signature

2. PERMANENT ADDRESS

Line 1* _____

Line 2* _____

Line 3 _____ City/ Town/ Village* _____

District* _____ Pincode* _____

State* _____ Country* _____

Proof of Address* _____ Document Number _____

3. CORRESPONDENCE ADDRESS

☐ If same as above address, then leave blank

Line 1* _____

Line 2* _____

Line 3 _____ City/ Town/ Village* _____

District* _____ Pincode* _____

State* _____ Country* _____

Proof of Address* _____ Document Number _____

4. CONTACT DETAILS

Mobile* _____ - _____ Tel.(office) _____ - _____

Tel.(Res) _____ - _____ Fax _____ - _____

Email ID* _____

5. REMARKS (IF ANY)

Remarks (If any) _____

6. APPLICATION DECLARATION

I/We hereby declare that the KYC details provided by me/us are true and correct to the best of my/our knowledge and belief. I/We undertake to promptly inform you of any changes to the information provided. I/We understand that if any of the above details are found to be false, untrue, misleading, or misrepresented, I/We may be held liable for the same.

I/We hereby consent to receiving communications from the Central KYC Registry via SMS and/or email on the registered mobile number and email address provided above.

I/We also consent to receiving communications from CVL KRA via SMS and/or email on the registered contact details. I/We acknowledge that for Aadhaar OVD-based KYC, my/our KYC request will be validated against Aadhaar details.

I/We further consent to sharing my/our masked Aadhaar card (with readable QR code), or my/our Aadhaar XML/Digilocker XML file along with the passcode, as applicable, with the KRA and other intermediaries with whom I/We have a business relationship, strictly for KYC purposes.

PLACE: _____

DATE: _____ (DD-MM-YYYY)

APPLICANT E-SIGNATURE

APPLICANT WET SIGNATURE

7. FOR OFFICE USE ONLY

Name of Employee _____ Employee Code _____

Designation _____ Date of IPV _____ - _____ - _____

Organization **SAPPHIRE BROKING** Signature of employee _____

Seal/Stamp of Intermediary

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



Please fill the form in ENGLISH and in BLOCK letters

Application No: _____

Application Type: _____

☐ New KYC

☐ Modification KYC

1. IDENTITY DETAILS

Name of Applicant: _____

Date of Incorporation: ____ - ____ - ____ Place of Incorporation: _____

Date of commencement of business: ____ - ____ - ____

PAN: _____

Registration No. (e.g. CIN): _____

Status (Please tick ✓ the appropriate)

- | | | | | |
|----------------------------------------------|--------------------------------------------------------|------------------------------------------|------------------------------------------------------|------------------------------------------------|
| <input type="checkbox"/> Private Limited Co. | <input type="checkbox"/> Public Limited Co. | <input type="checkbox"/> Body Corporate | <input type="checkbox"/> Partnership | <input type="checkbox"/> Trust |
| <input type="checkbox"/> Charities | <input type="checkbox"/> NGO's | <input type="checkbox"/> FI | <input type="checkbox"/> FII | <input type="checkbox"/> HUF |
| <input type="checkbox"/> AOP | <input type="checkbox"/> Bank | <input type="checkbox"/> Government Body | <input type="checkbox"/> Non-Government Organization | <input type="checkbox"/> Defence Establishment |
| <input type="checkbox"/> BOI | <input type="checkbox"/> Society | <input type="checkbox"/> LLP | <input type="checkbox"/> FPI- Category I | <input type="checkbox"/> FPI – Category II |
| <input type="checkbox"/> FPI – Category III | <input type="checkbox"/> Others (Please specify) _____ | | | |

2. ADDRESS DETAILS

Correspondence Address:

Line 1 _____

Line 2 _____

City/ Town/ Village _____ District _____

Pin Code _____ State _____

Country _____ Proof of Address _____ Document Number _____

Contact Details:

Tel. (Off.) _____ Fax _____

Tel. (Res.) _____ Mobile No. _____

E-mail Id. _____

Registered Address (If different from above):

Line 1 _____

Line 2 _____

City/ Town/ Village _____ District _____

Pin Code _____ State _____

Country _____ Proof of Address _____ Document Number _____

3. DECLARATION

I/We declare that the details furnished above are true and correct to the best of my knowledge and undertake all liabilities w.r.t any incorrect information, I also confirm to inform Sapphire Broking w.r.t any changes in the future. I/We are also aware that for Aadhaar OVD based KYC, my KYC shall be validated against my Aadhaar. I/We hereby consent to sharing my/our masked Aadhaar with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I/We or Sapphire Broking have a business relationship for KYC purposes only. I/We hereby consent to receiving information from CVL KRA & C-KYC Registry through SMS/Email on the above registered number/Email ID.

Date: ____ - ____ - ____

Name & Signature of Authorised Signatory

4. FOR OFFICE USE ONLY

In Person Verification (IPV) Details:

Name of the person who has done the IPV: _____ Designation: _____

Name of the organisation: **Sapphire Broking**

Employee ID: _____ Date of IPV: ____ - ____ - ____

Signature of the person
who has done the IPV

Seal/Stamp of the Intermediary

ANNEXURE FOR DETAILS OF PARTNERS/PROMOTER/ WHOLE-TIME DIRECTORS FOR NON-INDIVIDUAL

Name of the Applicant: _____

PAN: _____

Name: _____

Relationship with Applicant: _____

PAN: _____ DIN _____

Aadhar Number: _____

Residential/ Registered Address _____

City/Town/Village _____ Pin Code _____

State _____ Country _____

PHOTOGRAPH

Please affix your recent
passport size photograph
and sign across it

Name: _____

Relationship with Applicant: _____

PAN: _____ DIN _____

Aadhar Number: _____

Residential/ Registered Address _____

City/Town/Village _____ Pin Code _____

State _____ Country _____

PHOTOGRAPH

Please affix your recent
passport size photograph
and sign across it

Name: _____

Relationship with Applicant: _____

PAN: _____ DIN _____

Aadhar Number: _____

Residential/ Registered Address _____

City/Town/Village _____ Pin Code _____

State _____ Country _____

PHOTOGRAPH

Please affix your recent
passport size photograph
and sign across it

Name: _____

Relationship with Applicant: _____

PAN: _____ DIN _____

Aadhar Number: _____

Residential/ Registered Address _____

City/Town/Village _____ Pin Code _____







State _____ Country _____

PHOTOGRAPH

Please affix your recent
passport size photograph
and sign across it

Name & Signature of Authorised Signatory (ies)

Date: ____ - ____ - ____

TRADING AND DEMAT ACCOUNT RELATED DETAILS					
TYPE OF ACCOUNT: <input type="checkbox"/> Individual <input type="checkbox"/> Non-Individual		Sub Status		<input type="checkbox"/> Resident <input type="checkbox"/> Other	
1. BANK ACCOUNT DETAILS – Payin/Payout of funds will be routed through the said bank account					
Bank name, Branch and Address:					
Account no.					<input type="checkbox"/> Savings <input type="checkbox"/> Current
MICR Code			IFSC Code		
2. DEPOSITORY ACCOUNT DETAILS (DP1 DETAILS WILL BE CONSIDERED FOR PAYOUT OF SECURITIES)					
	DP 1 Details		DP 2 Details		
Depository Name	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL		<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL		
DP NAME					
Beneficiary Name					
DP ID					
BO ID					
Pledge instruction - 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.				<input type="checkbox"/> Yes <input type="checkbox"/> No	
"I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes') [Automatic Credit]"				<input type="checkbox"/> Yes <input type="checkbox"/> No	
3. MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)					
<input type="checkbox"/> Jointly		<input type="checkbox"/> Anyone of the Holder			
Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be first holder.					
<input type="checkbox"/> First Holder	<input type="checkbox"/> All Holder <input type="checkbox"/> Second Holder <input type="checkbox"/> Third Holder		<input type="checkbox"/> Email ID		
4. TRADING PREFERENCES					
Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.					
Exchanges	NSE, BSE				MCX, BSE & NSE
All Segments	Cash/ Mutal Fund	F & O	Currency	Debt	Commodity Derivatives
					
If you do not wish to trade in any of segments/ Mutual Fund, please mention here:					

5. STANDING INSTRUCTIONS / AUTHORIZATION FROM THE CLIENT	
Contract Note/Holding & Transaction Statement including CAS/Other Documents*	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical
Receive Delivery Instruction Slip	<input type="checkbox"/> No <input type="checkbox"/> Yes
Share Email ID with Registrar & Transfer Agent	<input type="checkbox"/> No <input type="checkbox"/> Yes
Receive Annual Report	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical <input type="checkbox"/> Yes
DP Account Statement	<input type="checkbox"/> Monthly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Weekly <input type="checkbox"/> As per SEBI Regulation
Declaration for Mobile Number	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent
Declaration for Email ID	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent
Bill-to-bill settlement	<input type="checkbox"/> No <input type="checkbox"/> Yes
Running Account Settlement	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly
Whether you wish to avail of the facility of internet trading / wireless technology (please specify)	<input type="checkbox"/> No <input type="checkbox"/> Yes
Margin Trading Facility (Refer Rights & Obligation document)	<input type="checkbox"/> No <input type="checkbox"/> Yes
SMS Alert Facility - Mandatory if you are giving Power of Attorney (POA). Ensure that the mobile number is provided in the KYC Application Form.	<input type="checkbox"/> No <input type="checkbox"/> Yes
Note: 1. Divided / Interest will be credited to designated bank account via ECS. 2. In case client doesn't opt for DIS booklet, it would be issued on request at any later date. 3. BO can view his ISIN balances, transactions & value portfolio online. 4. *Other documents include SEBI prescribed standard documents i.e. Rights & Obligation documents for trading and depository account, Risk Disclosure Document & Guidance Note or any other communication / document disseminated by Sapphire broking. 5. Sapphire may carry out proprietary trades in addition to cliental trades	
6. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002	
Experience	Number of years of Investment / Trading Experience
Gross Annual Income	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 lacs <input type="checkbox"/> 5-10 lacs <input type="checkbox"/> 10-25 lacs <input type="checkbox"/> >25 lacs <input type="checkbox"/> > 1 Crore
	OR Net Worth in ₹ _____ as on date ____ - ____ - _____
Occupation*	<input type="checkbox"/> Govt. Services <input type="checkbox"/> Professional <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please Specify):
Nature of Business	<input type="checkbox"/> Manufacturing <input type="checkbox"/> Services <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others (Please Specify):
Client Category Commercial Participant Non-commercial participant	<input type="checkbox"/> Value chain participant <input type="checkbox"/> Financial participant <input type="checkbox"/> Arbitrager <input type="checkbox"/> Exporter <input type="checkbox"/> Importer <input type="checkbox"/> Trader <input type="checkbox"/> Hedger <input type="checkbox"/> Other
Is the Client Politically Exposed Person (PEP) or Related to a PEP <input type="checkbox"/> PEP <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not a PEP / RPEP (If marked as PEP or related to PEP please fill the next form)	

PEP DECLARATION

Are you related to any political party?	Yes/ No
If yes please mention the name of Party, otherwise only put your details at the end of form	
Are you connected to one or more person who holds or has held political connection like Member of parliament/Member of Lok Sabha/ Member of Raj Sabha/ Prime Minister/Chief Minister	_____ _____
Pls tick source Of Fund for Investment and provide relevant documents	Salary (Yes/ No) Business (Yes/ No) Other (Yes/ No)
Relationship with PEP	Self (Yes/ No) Mother (Yes/ No) Father (Yes/ No) Child (Yes/ No) Other (Yes/ No)
Title of Position Held/Hold since	
In what Jurisdiction is/was the position held/Hold?	

All the above information stated above is true to the best of my knowledge and discrepancy found, if any in above statement will lead to deactivation of my account and square off of my open position by the Sapphire Broking without any further intimation.

Client Name: _____

Trading Code: _____

Signature: _____

Date: ____ - ____ - _____

7. PAST ACTIONS

Details of any action / proceedings initiated / pending / taken by SEBI / Exchanges / any other authority against the applicant / constituent or its Partners / promoters / whole time directors /authorized persons in charge of dealing in securities / commodities during the last 3 years:

☐ No ☐ If yes, please specify

8. GST REGISTRATION DETAILS

Registration No	Validity Date	Name of the State
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GSTIN No:		
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9. DEALING THROUGH OTHER STOCK BROKERS

If Yes, please specify whether dealing with any other stock broker (if case dealing with multiple stock brokers, provide details of all)

Name of Stock Broker	
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Name of Exchange	Client Code (as given by other broker)	
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Details of disputes/dues pending from/to such stock broker:

10. INTRODUCER DETAILS

Status of Introducer ☐ AP ☐ Employee ☐ Existing Client ☐ Others (Specify):

Introducer Name:

AP/Emp/Client Code:

Address:

Mobile No:

Signature of the Introducer

**11. CLIENT DECLARATION**

1. I/We confirm that I/We have read, been explained, and understood the contents of the stock broker's policy and procedures document as well as the tariff sheet.

2. I/We further confirm that I/We have read and understood the contents of the 'Rights and Obligations' document(s) and the 'Risk Disclosure Document', and agree to be bound by the provisions stated therein. I/We acknowledge that the standard set of these documents has also been made available on the stock broker's designated website, if any.

(First/Sole holder)

(Second holder)

(Third holder)

Trading account charges

Charge Type	Individual Account	Non- Individual Account
Equity Delivery	INR 20 or 0.02% of transaction value, whichever is higher, subject to maximum of INR 100/-	INR 20 or 0.02% of transaction value, whichever is higher, subject to maximum of INR 100/-
Intra-day	INR 20 or 0.05% whichever is lower per executed order (minimum brokerage of INR 2.5 will be levied)	INR 20 or 0.05% whichever is lower per executed order (minimum brokerage of INR 2.5 will be levied)
Futures of Equity, index, Commodity, Currency	INR 20 or 0.05% whichever is lower per executed order (minimum brokerage of INR 2.5 will be levied)	INR 20 or 0.05% whichever is lower per executed order (minimum brokerage of INR 2.5 will be levied)
Options of Equity, index, Commodity, Currency	INR 20 per order	INR 20 per order
Call and Trade Charges	INR 50 per order	INR 50 per order

Disclaimer: Clients who opt to receive physical contract notes will be charged Rs. 20 per contract note plus courier charges. A brokerage of 0.5% of the contract value will be charged for contracts where physical delivery happens. In addition to the brokerage charge the following charges will also be levied.

Demat account charges

NATURE OF SERVICES		CHARGES (PLEASE TICK WHICHEVER IS APPLICABLE)		
		<input type="checkbox"/> Regular Scheme	<input type="checkbox"/> Globe Relax	<input type="checkbox"/> Life Time
Account Maintenance Cycle		Four Quarter (1 Year)	Twenty Quarter (5 year)	Life time
Maintenance Charges (Individual Account)		INR 399/- for first Quarter remaining three Quarters FREE	INR 999/- for first Quarter remaining nineteen Quarters FREE	1999/-
Maintenance Charges (Corporate Account)		INR 1250/- for first Quarter remaining Quarters FREE	Not Applicable	Not Applicable
Transaction Charges				
Delivery	Market Transaction	INR 20/- per instruction or 0.02% of transaction value, whichever is higher, subject to maximum of INR 100/-		
	Off Market Transaction	INR 25/- per instruction or 0.03% of transaction value, whichever is higher, subject to maximum of INR 1000/-		
Pledge Creation/ Closure/ Invocation		INR 50/- per instruction or 0.02% of transaction value, whichever is higher		
Demat Charges		INR 50/- for up to first hundred and after first hundred INR 10/- for every hundred securities or part thereof or a flat fee INR 10/- per certificate whichever is higher plus courier charges of INR 40 for every 25 certificate and part thereof		
Remat Charges		INR 100/- for up to first hundred and after first hundred INR 30/- for every hundred securities or part thereof or a flat fee INR 30/- per certificate whichever is higher		
Mutual Funds (Destat / Redemption)		INR 50/- per instruction plus courier charges		
Instruction Booklet		INR 2/- per leaf plus courier charges		

Disclaimer: Sapphire Broking is not presently a Depository Participant registered with CDSL or NSDL and, accordingly, does not provide demat account services. All depository-related services, including the opening and maintenance of demat accounts, are facilitated through Globe Capital Market Limited, a SEBI-registered Depository Participant (SEBI Registration No.: IN-DP-614-2021). Any charges mentioned herein in relation to demat account services are levied by Globe Capital Market Limited and shall be payable directly or indirectly to Globe Capital Market Limited, as applicable.

Note:

- Brokerage will not exceed the rates specified by SEBI and the Exchanges
- All Statutory and Regulatory charges will be levied at actuals
- Brokerage is also charged on expired, exercised, and assigned Options contracts
- Charges for other value added services will be applicable at the time of availing such service, upon your consent
- Any modification or revision to the brokerage plan shall be subject to the mutual consent of Sapphire Broking and the Client. Sapphire Broking shall communicate such proposed change to the Client through email at least **fifteen (15) days prior** to the effective date of the revised brokerage plan.
- The Client shall have the right to convey acceptance or objection to the proposed change through email within the notice period. In the event the Client does not communicate any objection within the said notice period and continues to access or use the trading platform after the effective date of the revised brokerage plan, such continued usage shall be deemed as the Client's acceptance and consent to the revised brokerage plan.



Date: ____ - ____ - ____ (First/Sole holder)



(Second holder)



(Third holder)

Most Important Terms and Conditions (For non-custodial settled trading accounts)

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



(First/Sole holder)



(Second holder)



(Third holder)

Place: _____

Date: ____ - ____ - _____

Whereas the Client wishes to open securities and/or commodities trading accounts with Sapphire Broking (hereinafter referred to as "Sapphire Broking") for the purpose of trading in the Capital Market Segment, Futures & Options, Currency Derivatives, and Commodities Futures & Options of the National Stock Exchange of India Ltd., the Bombay Stock Exchange Ltd., the Multi Commodity Exchange, as well as for availing Mutual Fund transaction facilities offered by the Stock Exchanges; and whereas, for the purpose of more effectively and conveniently availing the services agreed to be provided by Sapphire Broking, along with any additional services that Sapphire Broking may introduce from time to time, the Client, of its own free will and volition, agrees to accept and be bound by the following terms and conditions. The Client acknowledges that these terms and conditions are voluntary and non-mandatory in nature; however, upon acceptance, they shall constitute a binding contract between the parties and be fully enforceable by each against the other.

1. Authorization to Debit Additional Charges with regard to Trading and Demat Account: Without prejudice to the other rights and obligations of the parties, the Client understands and agrees that Sapphire Broking may levy additional charges, including Annual Maintenance Charges and all transaction charges, in relation to the Client's Demat account or Counter Demat account for any services rendered by Sapphire Broking at the Client's request. Sapphire Broking may also recover from the Client all reasonable costs that are incidental or consequential to providing such services. These charges will be debited to the Client's ledger account with Sapphire Broking.
2. Lien: All securities, commodities, funds, and/or properties (any assets available with Sapphire Broking) of the Client, as may be permitted by the Exchange(s) from time to time to be placed with Sapphire Broking, shall be subject to a lien for the payment or fulfilment of all undischarged liabilities and obligations of the Client in relation to its transactions or amounts owed to any of the group companies of Sapphire Broking. Sapphire Broking shall be entitled to withhold such securities, commodities, funds, and/or properties of the Client as security towards any such undischarged liabilities or obligations of the Client, and may sell and/or appropriate to itself all such securities, commodities, funds, or properties at its sole discretion and at any time, without prior notice to the Client.
3. Authorization for Delivering / Pledging Shares: The Client understands and agrees that Sapphire Broking may deliver to the Exchange any securities held on behalf of the Client to discharge settlement obligations in respect of securities sold by the Client, or may pledge such securities with the clearing house of a recognized stock exchange in any segment where the Client is registered for trading, for the purpose of providing margin for trading positions contracted or to be contracted by the Client. Sapphire Broking may also pledge such securities with any scheduled commercial bank, non-banking financial institution, or other financial institution for raising funds to the extent that the Client's account carries a debit balance, without any obligation on its part to raise such funds by pledging the securities. This is without prejudice to the right of Sapphire Broking to enforce, at its option, the collateral security in such securities to recover the debit balance at any time.
4. Authorization for Inter-Segment Fund Balance Transfer and Stock Transfers: The Client hereby authorizes Sapphire Broking to transfer debit or credit balances in the Client's ledger account, arising during the course of trades in any segment (including the commodities segment), to the Client's ledger account in any other segment (including the commodities segment). Sapphire Broking is also authorized to transfer any stock purchased or lying in the Client's account in any segment (including the commodities segment) to the Client's account in any other segment, as often as may be required. Such transfers may be affected by passing journal entries in the books of Sapphire Broking.
5. Disclaimer: The Client understands and agrees that neither Sapphire Broking nor any other party disseminating market data, messages, or information through Sapphire Broking's website or by any other means shall be liable for:
 - (a) any inaccuracy, error, omission, or delay in the transmission or delivery of such data, information, or message; or
 - (b) any loss or damage arising from or caused by:
 - (i) any such inaccuracy, error, delay, or omission;
 - (ii) non-performance; or
 - (iii) interruption in making such data, information, or message available,
 whether due to any act or omission by Sapphire Broking or any disseminating party, or due to "force majeure" events (including, but not limited to, flood, extraordinary weather conditions, earthquake, or other acts of nature, fire, war, insurrection, riot, labour dispute/unrest, accident, government action, communications or power failure, equipment or software malfunction), or any other cause beyond the reasonable control of Sapphire Broking or any disseminating party.
6. Manner/Mode of Placing Orders/Instructions & Non-Execution/Delay/Cancellation of Orders: The Client may communicate orders and other instructions to Sapphire Broking or to the sub-broker/authorised person, as applicable, by phone at the designated contact number, in writing, through the designated email, or by personally visiting the designated office. The Client agrees that neither Sapphire Broking nor the Exchanges shall be liable for non-execution or partial execution of any orders resulting from suspension, interruption, or malfunctioning of online or offline trading services, disruptions or congestion of communication networks, hardware or software issues, or failure of electronic trading systems beyond the control of Sapphire Broking or the Exchanges.
7. Client Not to Act on Representations of Agents or Employees: The Client acknowledges that Sapphire Broking has not authorized any agents, representatives, employees, or any other persons to make representations, give promises, assurances, warranties, undertakings, or commitments regarding returns on the Client's investments, whether in writing or otherwise, on behalf of Sapphire Broking.

8. Recording of Conversations: The Client acknowledges and agrees that Sapphire Broking may, in accordance with applicable laws, rules, and regulations of SEBI and the Exchanges, record conversations between the Client or the Client's representative and Sapphire Broking, whether conducted over the telephone or in person. Sapphire Broking may, either voluntarily or upon request by competent authorities, produce such recorded conversations, their transcripts, or both, as valid evidence of the contents of the recorded communication.
9. Confidentiality of Client Details: Sapphire Broking may disclose Client information to any person or entity as required under applicable law, or to any broker's association or similar organization in the event of a dispute, for the purpose of facilitating an informed decision. The Client agrees and consents to the disclosure by Sapphire Broking to any person or entity, including but not limited to independent third parties, entities within the Sapphire Broking Group (whether in or outside India), or credit bureaus, of any information or data relating to the Client or the Client's trading account with Sapphire Broking. Such disclosure may be made for purposes connected with current or proposed initiatives, including but not limited to marketing or cross-selling initiatives, business proposals, activities, facilities, or services availed of, or to be availed of, by the Client in the future.
10. The Client agrees that Sapphire Broking may appoint agents or engage credit bureaus to perform activities mentioned in, or related to, the rendering of its services, and hereby consents to the sharing of the Client's account-related information and any reports issued by such credit bureaus with such parties for various regulatory and other lawful purposes.
11. Disclosure as to Proprietary Trades by Sapphire Broking: Sapphire Broking may execute proprietary trades in addition to trades carried out on behalf of its clients.
12. Severance: If any one or more of the terms and conditions contained in this document are found to be invalid, illegal, or unenforceable under any applicable law, the validity, legality, and enforceability of the remaining provisions shall not in any way be affected or impaired.
13. No Waiver: No forbearance, relaxation, or inaction by any party in requiring the performance or discharge of any obligation by the other under this document shall in any way affect, diminish, or prejudice that party's right to require such performance or discharge at any time, or to require the performance or discharge of any other obligations under this document. No waiver of any rights shall be effective unless specifically agreed to in writing.
14. Notices:

All notices or communications issued by Sapphire Broking shall be served on the Client in one or more of the following ways, at the Client's ordinary business address, ordinary place of residence, and/or last known address:

 - 14.1. (a) by ordinary post or (b) by registered post or (c) by express delivery post or (d) by SMS on the registered mobile number or by telephonic call or (e) by affixing it on the door at the last known business or residential address or (f) by oral communication to the Client or on the last known telephone number, or by leaving a message on the recording device of such number or (g) by advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the Client is located or (h) by publishing it on the website of Sapphire Broking, where a secured login ID and password have been provided to the Client or (i) by posting it on the notice board of the Exchange if no address is known or (j) by electronic mail or fax or (k) by hand delivery, courier, or any other approved mode of communication permitted under applicable laws.
 - 14.2. Notwithstanding anything stated above, communications relating to orders, margins, maintenance calls, and other similar matters in the ordinary course of dealings between Sapphire Broking and the Client may be made orally.
15. Electronic Contract Note (ECN):
 - 15.1. The Client agrees to receive contract notes in electronic or digital form (ECN), authenticated by means of a digital signature, in lieu of physical contract notes, through email. For this purpose, the Client authorizes Sapphire Broking and provides the email address(es) at which the ECN should be sent.
 - 15.2. The Client shall access and verify the ECN and all information contained therein. In case of any discrepancy, the Client shall inform Sapphire Broking either in writing or via email within a reasonable time of receiving the same. Sapphire Broking shall also publish the Contract Note on its website (**www.sapphirebroking.com**) or any other designated location specified by Sapphire Broking from time to time. The Client will be issued a login ID and password to access their account and view, save, or print the ECN. If the Client experiences any difficulty in opening the ECN, Sapphire Broking may, upon being advised by the Client, make the Contract Note available by another means (such as email, electronic mail attachment, downloadable link from the back-office website, or delivery of a hard copy). Failure by the Client to inform Sapphire Broking of such difficulty shall be deemed as valid delivery and viewing of the document by the Client.
16. Electronic Transmission of Other Documents: The Client who has opted for ECN agrees that Sapphire Broking may transmit to the Client any statements, documents, or intimations including, but not limited to, Margin Statements, Statements of Funds and Securities, margin and maintenance calls, and other notices or communications mandated by SEBI, Stock Exchange, or Depository, in electronic mode either to the email ID designated for delivery of ECN, to the Client's registered mobile number, or to both. In case of non-receipt, bounced email, or non-delivery of SMS notifications, Sapphire Broking shall be deemed to have fulfilled its obligation to deliver such documents. Any discrepancies in these documents should be brought to the notice of Sapphire Broking within a reasonable time from the date of issuance, failing which the documents shall

be considered a true and correct record of the transactions stated therein.

17. Electronic Payment Gateway for Net Banking Services: Sapphire Broking may provide, on its internet trading website and without additional cost to the Client, access to Electronic Payment Gateways offered by various banks for facilitating the transfer of funds from the Client's bank account to the Client's account with Sapphire Broking. The Client understands that Sapphire Broking is only providing access to the electronic fund transfer facility made available by the Client's banker through Sapphire Broking's website via an interface, and is not liable or responsible for the proper functioning of the Gateway, or for any transaction errors, losses, malfunctioning, hacking by unscrupulous elements, frauds, or any incidental or consequential claims arising therefrom. The Client undertakes not to make Sapphire Broking a party to any litigation, claim, dispute, difference, or complaint that the Client may initiate in respect of, or arising out of, any transactions on the Gateway. The Client further agrees that Sapphire Broking's liability shall at all times be limited to the amount actually received in its account by electronic transfer from the Client's account with the bank.

18. Internet / Wireless Technology based Trading facility:

18.1. Sapphire Broking offers internet and mobile trading facilities for transactions in securities on the concerned Exchanges, including facilities for online application of IPOs, FPOs, NFOs, Bond issues, or any other issues of securities, as well as services to apply for, purchase, redeem, sell, buy back, or otherwise deal in units of Mutual Funds (hereinafter referred to as "the Internet/Wireless Trading System") through Exchange-approved software. The Client can route orders to Sapphire Broking via internet, mobile, laptop with data card, or any other device that uses internet protocol for purchasing, selling, and dealing in securities. The Client may avail of such trading facilities provided by Sapphire Broking by completing the prescribed formalities.

18.2. Non-usage of Internet/Wireless Trading Facility: If the Client does not use the Internet/Wireless Trading Facility for a continuous period of three months, or such other period as Sapphire Broking may notify, the facility may be deactivated without prior notice. The Client shall be required to complete the prescribed formalities for reactivation. However, trades can still be executed at any time by placing orders offline with the concerned branch of Sapphire Broking.

18.3. The Client understands and agrees that Sapphire Broking offers different Internet Trading/Wireless Trading software products approved by the Exchanges, and the Client shall be allotted such product as chosen by them. The Client further understands and agrees that, depending on their trading activity, Sapphire Broking shall have the exclusive right and discretion to change the product version allotted and provide a different version of the Internet Trading/Wireless Trading facility.

18.4. Orders of Client Subject to Review by Sapphire Broking: The Client agrees that Sapphire Broking may, if it suspects any transaction, review any order placed by

the Client. Such review may cause delays in processing the order or may result in its rejection.

19. Extraordinary Events and Termination/Suspension of Trading Facility:

Sapphire Broking shall not be liable for any losses caused, directly or indirectly, by government restrictions, exchange rulings, suspension of trading, system or communication failures, natural disasters, accidents, power outages, equipment or software malfunctions, connectivity issues, network congestion, software errors, reduced processing speeds, strikes, or any other circumstances beyond its control that result in non-execution, partial execution, or incomplete execution of orders, and any resulting financial loss. In the event of any such extraordinary occurrence, Sapphire Broking may, at its discretion, terminate, discontinue, or temporarily suspend the trading facility provided to the Client without prior notice.

20. Amendments to the Terms and Conditions:

Sapphire Broking reserves the right to amend these terms and conditions by adding, deleting, modifying, or varying any provisions by giving the Client 15 days' prior notice (except in respect of Stamp Duty, GST, Education Cess, and other statutory levies, for which Sapphire Broking shall provide 30 days' prior notice or such other period as permitted under applicable law). If the Client does not raise any objections to the revised terms and conditions within 15 days of receiving such notice, the amendments shall be deemed accepted and binding on the Client. The latest terms and conditions, including any amendments, are available on the company's website: <https://www.sapphirebroking.com/>

21. Mutual Fund Service System Facility / BSE Star MF:

The Client is registered with Sapphire Broking and has completed the Know Your Client (KYC) process along with other necessary documentation for trading in the securities market on a recognized Stock Exchange ("Exchange"). If the Client opts to deal in units of Mutual Fund schemes permitted to be traded on SEBI-recognized Stock Exchanges ("Mutual Fund Transaction Facilities"), the KYC details submitted for stock broking purposes shall be used for Mutual Fund transactions as well. The Client agrees to abide by all applicable terms and conditions mentioned in the relevant Exchange circulars, as amended from time to time. The Client shall also comply with the requirements prescribed by the Securities and Exchange Board of India (SEBI) and the Association of Mutual Funds in India (AMFI). The Client must read and understand the Scheme Information Document, Key Information Memorandum, and any addenda issued for each Mutual Fund scheme they choose to subscribe to or redeem, and shall adhere to the respective terms, conditions, rules, and regulations. The Client confirms having read and understood the terms and conditions for using the Mutual Fund transaction facility as provided in the KYC handout (Customer Copy). The Client acknowledges their right to transact directly with the Asset Management Company (AMC) without using the distributor's name at any time for folios tagged with a distributor code. The Client authorizes Sapphire Broking, in its capacity as a mutual fund distributor, to communicate with AMCs on their behalf for both financial and non-financial transactions, including

the receipt of investment details from the AMC.

22. **Dispute Resolution & Arbitration:** The parties agree that all claims, differences, or disputes between them—arising out of or in connection with this mandatory and voluntary client/registration document, or any dealings and transactions made subject to the Bye-laws, Rules, and Regulations of the Exchanges—shall be referred to arbitration in accordance with the provisions of the Arbitration and Conciliation Act, 1996, and the Bye-laws and Regulations of the concerned Exchange. However, arbitration, grievance redressal mechanisms, or investor protection schemes of the Exchanges or SEBI shall not be applicable where such claims, differences, or disputes exclusively arise from, or relate to: Contracts entered into, Transactions carried out, Schemes, leagues, or competitions joined, Other arrangements or understandings reached, or Relationships established by the Client with a group concern or associate of Sapphire Broking, or any third parties, and where the Bye-laws, Rules, and Regulations of the Exchange are not applicable. The Client understands and agrees that any application for invoking arbitration, grievance redressal mechanisms, or investor protection schemes of the Exchange in such cases shall be liable to dismissal.

23. **Setting up of Exposure Limits:**

23.1. **Trading Limits & Collateral**

Sapphire Broking may grant trading limits to the Client based on the margin available to the Client in the form of funds, securities, bank guarantees, or fixed deposit receipts. At its sole discretion, Sapphire Broking may refuse to accept certain securities as collateral or margin. A list of acceptable securities for collateral/margin will be published from time to time.

When determining the Client's exposure limits, Sapphire Broking may consider factors including, but not limited to: the Client's risk profile, risk appetite, loss-bearing capacity, payment history, market volatility, and its internal risk management policies. Sapphire Broking reserves the right to revise the Client's trading or exposure limits at any time, based on its risk assessment and changes in market conditions or other relevant factors affecting the Client's risk profile.

23.2. **Limitation of Liability on Exposure or Turnover**

Limits Neither Sapphire Broking, nor any of its affiliates, nor their respective directors, officers, employees, or agents shall, under any circumstances, be liable for any direct or indirect loss, cost, liability, expense, or damage (including, without limitation, all legal fees and expenses) arising from any variation, reduction, or withdrawal of exposure or turnover limits by Sapphire Broking.

24. **Client to Maintain a Mobile Connection:** The Client agrees to maintain an active mobile connection as a pre-condition for opening and operating an account with Sapphire Broking. The Client further undertakes to promptly notify Sapphire Broking whenever a new mobile number is obtained to replace the one previously provided.

25. **Aggregation of Open Market Positions by the Exchange:** The Client agrees that if the Exchange directs or advises Sapphire Broking to reduce the Client's exposure in any outstanding open interest in a contract—whether due to the Client's individual market exposure or the combined exposure of related parties—because it exceeds the maximum allowable open position prescribed by the Exchange for an individual client or for all clients of Sapphire Broking, then Sapphire Broking may square off the Client's open market positions in such contract as directed by the Exchange. The Client further agrees that, although Sapphire Broking may make reasonable efforts to inform the Client of such a direction from the Exchange, it is under no obligation to do so or to obtain the Client's consent prior to squaring off positions under this clause. Any losses arising from such squaring off shall be borne entirely by the Client.

26. **Payment of Full Contract Value:** The Client agrees to pay Sapphire Broking the full contract value for all open buy positions—excluding both-side option contract positions—after deducting any free surplus funds already available with Sapphire Broking. This payment must be made one day prior to the commencement of the tender period for the respective contract. If that day is a bank holiday, payment shall be made on the immediately preceding bank working day. If the Client defaults on this payment obligation, Sapphire Broking, at its discretion, may square off all or part of the Client's open positions. Any and all losses arising from such square-off shall be solely borne by the Client.

27. **Execute / Self / Wash / Match trades:** Orders of buy and sell placed at such rates and which such time intervals / frequencies, and particularly in contracts considered illiquid, may be rejected or cancelled by Sapphire without prejudice to its other rights to impose penalty on the client and/or deregister the client. Sapphire may also report such instances to the Exchange or the Regulator for appropriate action at their end.

28. **. Use of services of Authorised Person:**

I/We hereby authorize Sapphire Broking to disclose details of my/our account, as provided in the account opening form, supporting documents submitted, and/or any other information related to my/our account, including trades/transactions carried out through my/our account, to the Authorised Person or such agents, by whatever name they are called, affiliated with Sapphire Broking.

If the Authorised Person is registered with the Exchange, I/We authorize Sapphire Broking to grant access and/or permit the Authorised Person all rights as per the applicable regulatory provisions, including any amendments issued from time to time.


If the Authorised Person is a Mutual Funds certified individual, hereinafter referred to as an *Independent Financial Provider for Mutual Fund (IFPMF)*, I/We authorize Sapphire Broking to grant access and/or permit the IFPMF to view all trades and transactions carried out through my/our account and to share details of such trades and transactions, enabling the IFPMF to track my/our investments and provide necessary assistance accordingly.

29. The Client hereby agrees and grants Sapphire Broking and its group companies unconditional and express consent to use, access, disclose to, store, and share with any third parties the information (whether sensitive, personal, proprietary, or otherwise) provided by the Client. This may be done for processing, storage, or any other purposes deemed appropriate by Sapphire Broking and its group companies, including for the purpose of providing services. If the Client wishes to revoke this consent, in part or in full, they must provide prior written notice to support@sapphirebroking.in. Upon receipt of such notice, Sapphire Broking and/or its group companies shall cease using, processing, or retaining such information within the timelines prescribed under applicable laws. Notwithstanding the above, Sapphire Broking and/or its group companies retain the right to store or disclose such information to any regulatory, statutory, judicial, governmental body, or exchange, as required under applicable laws.

I/We hereby state & confirm that I have read & understood the terms & conditions as mentioned above & agree to abide by the same.

Date: ____ - ____ - ____

Place: _____



Client Signature

RIGHTS AND OBLIGATIONS RELATING TO MARGIN TRADING FACILITY PROVIDED TO CLIENTS (VOLUNTARY)

1. Sapphire Broking is permitted to extend the Margin Trading Facility (MTF) to clients on such terms and conditions as may be specified by the Stock Exchanges and/or SEBI from time to time, and as mutually agreed between Sapphire Broking and the client. These Rights and Obligations set out the terms and conditions applicable to MTF, and both Sapphire Broking and the client shall comply with the same, along with any other requirements of the margin trading framework, including additional rights and obligations prescribed by the Stock Exchange, SEBI, or Sapphire Broking from time to time. Sapphire Broking reserves the right to amend these terms and conditions by adding, deleting, modifying, or varying provisions, by giving the client 15 days' prior notice (except in the case of changes related to Stamp Duty, GST, Education Cess, or other statutory levies, for which 30 days' prior notice or such other period as permitted under applicable law will be provided). If the client does not raise any objection to the revised terms and conditions within 15 days of receiving such notice, the changes shall be deemed accepted and binding on the client. The latest version of these terms and conditions, along with any amendments, is available on the company's website: www.sapphirebroking.com.
2. Only equity shares classified as "*Group I Security*" by SEBI shall be eligible for the Margin Trading Facility (MTF). Sapphire Broking, at its discretion, may choose not to provide funding under MTF for certain equity shares, even if they are classified as "*Group I Security*" by SEBI. The equity shares approved for funding (Approved List) shall be displayed on Sapphire Broking's trading website from time to time: **www.sapphirebroking.com**.
3. Initial margin, increased margin, margin shortages, margin calls, maximum allowable exposure, maximum stock-specific exposure, trade confirmations, square-off intimations, and any other information related to the Margin Trading Facility (MTF) shall be communicated to the Client electronically through one or more of the following modes: email, SMS, WhatsApp, mobile notifications, and additionally, through telephone calls.
4. To avail of the Margin Trading Facility (MTF), the minimum initial margin to be provided by the Client, as prescribed by SEBI or the Stock Exchanges, shall be as follows: (a) For F&O Stocks (i.e., stocks available for trading in the F&O segment): VaR + three times the applicable ELM. (b) For stocks other than F&O Stocks: VaR + five times the applicable ELM. Here, *VaR* and *ELM* refer to the Value at Risk margin and Extreme Loss Margin, respectively, as applicable to the relevant stocks in the cash segment.
5. The Client must provide the minimum initial margin applicable for a particular stock in order to purchase that stock under the Margin Trading Facility (MTF). This margin shall never be less than the amount prescribed by SEBI or the Stock Exchanges. However, Sapphire Broking reserves the right to require a higher initial margin than that prescribed by SEBI or the Stock Exchanges.
6. Subject to the initial margin requirements stated above, Sapphire Broking may, at its sole and absolute discretion, revise and increase from time to time the margin required for any stock permitted to be traded under the Margin Trading Facility (MTF). If the Client holds exposure in a stock for which the margin requirement has been revised but does not have sufficient credit in their account to meet the increased margin, the Client shall provide the shortfall within the time prescribed for margin payment.
7. The applicable minimum initial margin, any increased margin, and any margin shortfall may be paid in the form of cash, cash equivalents, or *Group I* equity shares with the applicable haircut, as specified in SEBI Master Circular No. SEBI/HO/MRD/DP/CIR/P/2016/135 dated 06/12/2016. The Client has the right to replace collateral securities provided under the Margin Trading Facility (MTF) with other approved collateral securities, provided that such replacement securities are sufficient to meet the required margin.
8. The margin requirement on shares purchased under the Margin Trading Facility (MTF) shall be computed by aggregating the applicable margins, i.e., the minimum initial margin plus any increased margin on each stock. The margin shortfall, if any, shall be calculated by deducting the available margin from the gross margin. Both collateral shares and shares purchased under MTF (Funded Shares) shall be marked to market daily for the purpose of computing the margin requirement and any margin shortfall.
9. The Client shall maintain the applicable minimum initial margin and any increased margin at all times in respect of stocks purchased under the Margin Trading Facility (MTF). The Client shall pay any margin shortfall immediately upon receiving a margin call, and in any case, no later than 5 working days from the date the margin call is made. Failure to meet the margin call within this timeframe shall entitle Sapphire Broking to liquidate the funded shares and/or collateral shares to recover any outstanding dues in the Client's account. The priority for liquidation of shares shall be determined according to the parameters set forth in Sapphire Broking's Risk Management policy as applicable from time to time. In the event of extreme market volatility, Sapphire Broking may demand immediate payment of margin, and the prescribed

- timeline for margin payment shall be adjusted accordingly. The decision of Sapphire Broking regarding market volatility shall be final and binding on the Client without any obligation to provide reasons.
10. A Client who is in margin default shall remain in margin default until the full required margin is furnished to eliminate the shortfall. Partial payments of margin or any change in the required margin shall not extend the stipulated time for making the margin payment, which shall run from the time the margin call is made to the Client.
 11. If the margin is reduced by an amount equal to the applicable Extreme Loss Margin (ELM) component of the total margin due to market volatility within a trading day (i.e., if the available margin becomes equal to or less than the applicable Value at Risk (VaR) margin), Sapphire Broking reserves the right to liquidate the collateral securities and/or funded shares immediately without prior notice to the Client.
 12. Clients availing Margin Trading Facility (MTF) who purchase shares not included in Sapphire Broking's Approved List of *Group I* securities shall be required to provide 100% margin upfront for such purchases.
 13. The Client shall inform Sapphire Broking of their intent to shift a specific transaction under the Margin Trading Facility within the timelines specified by Sapphire Broking. Failure to do so will result in the transaction being treated as a normal trading facility transaction.
 14. If a Client is debarred by lawful authority from trading in the securities market, Sapphire Broking shall liquidate the Client's collateral and funded shares immediately to recover all outstanding dues in full.
 15. Sapphire Broking may amend its Risk Management System (RMS) policy at any time but will implement such amendments only after duly communicating the changes to Clients registered under the Margin Trading Facility (MTF).
 16. Any transaction to be considered for exposure under the Margin Trading Facility (MTF) shall be determined according to Sapphire Broking's policy, provided that such determination shall occur no later than T+1 day.
 17. Sapphire Broking reserves the right to withdraw the Margin Trading Facility (MTF) from any Client without assigning any reason, after providing reasonable notice to the Client. In such cases, any outstanding dues in the Client's account shall become immediately payable. Failure to settle these dues will result in the liquidation of collateral and/or funded shares held in the Client's account.
 18. The Client may terminate the Margin Trading Facility (MTF) account only after clearing all outstanding dues in the MTF account.
 19. Sapphire Broking reserves the right to amend these terms and conditions by adding, deleting, modifying, or varying any provisions, by giving 15 days' notice to the Client (except in the case of Stamp Duty, GST, Education Cess & Statutory Levies, for which Sapphire Broking shall provide 30 days' prior notice or such other period as permitted under applicable law). If the Client does not object to the revised terms and conditions within 15 days of receiving such notification, the changes shall be deemed accepted and binding on the Client. The current terms and any amendments made by Sapphire Broking from time to time are available on the company's website: www.sapphirebroking.com.
 20. Stocks deposited as margin collateral and stocks purchased under funding (funded stocks) shall be distinctly identifiable and shall not be commingled for the purpose of computing the funding amount.
 21. Sapphire Broking may withdraw the Margin Trading Facility (MTF) if the Client breaches any terms or conditions, or at any time after giving due notice to the Client, allowing reasonable time to liquidate MTF positions as per agreed liquidation terms, without assigning any reason. Similarly, the Client may opt to terminate the MTF facility if Sapphire Broking breaches any terms or conditions, or for any other reason.
 22. In the event of termination of this arrangement, the Client shall promptly settle all dues payable to Sapphire Broking. Sapphire Broking shall have the right to immediately adjust the Margin Amount against any outstanding dues of the Client, and the Client hereby authorizes Sapphire Broking to make such adjustment.
 23. Sapphire Broking shall restrict the maximum gross exposure as well as individual stock-wise exposure of a Client under the Margin Trading Facility (MTF) at any point in time in accordance with its internal policies and market views, without assigning any reason to the Client. Providing the applicable margin shall not entitle the Client to seek exposure beyond the limits set by Sapphire Broking.
 24. Admission of Clients to the Margin Trading Facility (MTF) shall be at the sole discretion of Sapphire Broking. Requests for admission to MTF may be declined without assigning any reason.
 25. By agreeing to avail the Margin Trading Facility (MTF), the Client authorizes Sapphire Broking to retain and/or pledge the shares purchased under MTF (funded shares) and collateral shares provided as margin until all amounts due for the purchase and other outstanding dues are fully paid by the Client.
 26. All outstanding dues under the Margin Trading Facility (MTF) shall carry interest at a rate of up to 14.99% per annum, compounded fortnightly.

27. The Client is free to take delivery of the securities at any time by repaying the amounts paid by Sapphire Broking to the Exchange towards the securities, after clearing all outstanding dues.
28. Until the Client makes full payment of all outstanding dues in the Margin Trading Facility (MTF) account, collateral shares and funded shares, as required, shall be retained in the Demat account of Sapphire Broking, separately identified as collateral shares and funded shares.
29. The daily margin statement sent to MTF clients shall separately identify the margin and collateral related to MTF transactions.
30. Sapphire Broking shall declare and communicate to the Client the risk management policies it will follow regarding MTF transactions. Sapphire Broking may amend these policies from time to time based on its risk perceptions and shall inform Clients of any such amendments.
31. Any disputes arising between the Client and Sapphire Broking in connection with the Margin Trading Facility shall be resolved through the investor grievance redressal mechanism and/or arbitration mechanism of the stock exchanges, similar to the procedure followed for normal trades.
32. The Rights and Obligations prescribed herein shall be read in conjunction with the rights and obligations outlined under SEBI Circular No. CIR/MIRSD/16/2011 dated August 22, 2011, SEBI Circular No. CIR/MRD/DP/54/2017 dated June 13, 2017, the Circulars relating to MTF issued by the respective Stock Exchanges, any modifications thereto from time to time, and the Policies and Procedures prescribed by Sapphire Broking along with the terms and conditions of the Client's agreement with Sapphire Broking. In case of any inconsistencies between the Rights and Obligations herein and the provisions in the aforementioned SEBI and/or Stock Exchange Circulars, the latter shall prevail to the extent of such inconsistencies.
33. An MTF account with no transactions under the Margin Trading Facility for more than 90 days shall be settled immediately upon expiry of the said 90 days, provided there are no outstanding dues in the MTF account. Any dues outstanding in the normal trading account shall be first adjusted against the settlement amount, and the remaining balance, if any, shall be paid to the Client.
34. The Client hereby agrees, acknowledges, and undertakes to comply with the guidelines issued by SEBI/Depository for the Basic Services Demat Account (BSDA) facility from time to time. The Client understands that if the demat account opened under the BSDA facility does not meet or fails to meet the eligibility criteria prescribed by SEBI, Exchanges, or any other relevant authority at any time, the BSDA account will be converted into a regular demat account without further reference to the Client. Such converted account shall be subject to charges applicable to regular demat accounts as notified by the Depository Participant. The Client agrees that they shall have no claims against Sapphire Broking for any action taken due to failure to meet eligibility criteria for availing the BSDA facility.

I would like to avail of Margin Trading Facility and agree to the above Rights & Obligation.

Date: ____ - ____ - ____

Place: _____



Client Signature

**BSE RIGHTS AND OBLIGATIONS RELATING TO MARGIN TRADING FACILITY PROVIDED BY STOCK
BROKER/ TRADING MEMBER TO CLIENTS**

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| <ol style="list-style-type: none"> 1. Sapphire Broking, as a Stock Broker/Trading Member, is eligible to provide Margin Trading Facility (MTF) in accordance with the guidelines issued by SEBI and the Exchanges, as amended from time to time. 2. A Stock Broker/Trading Member desirous of offering Margin Trading Facility (MTF) to their clients is required to obtain prior permission from BSE. The Stock Broker/Trading Member acknowledges that BSE reserves the right to withdraw such permission at any time. 3. Sapphire Broking, as a Stock Broker/Trading Member, shall extend the Margin Trading Facility (MTF) to the client on such terms and conditions as specified by the Stock Exchange and SEBI from time to time. Both Sapphire Broking and the client shall comply with the requirements of the margin trading framework, including the rights and obligations prescribed by the Stock Exchange, SEBI, and Sapphire Broking. 4. Sapphire Broking, as the Stock Broker/Trading Member, shall inform the client seeking to avail Margin Trading Facility (MTF) of all the terms and conditions, including maximum allowable exposure, specific stock exposures, and the rights and obligations. 5. Sapphire Broking, as the Stock Broker/Trading Member, may, at its sole and absolute discretion, increase the limit of initial and/or maintenance margin from time to time. The Client agrees to agree to comply with such revisions and, in the case of an upward revision, undertakes to make up the shortfall within the time permitted by Sapphire Broking. It is understood that the initial and maintenance margins shall never be lower than those prescribed by the Stock Exchange or SEBI. | <ol style="list-style-type: none"> 6. Sapphire Broking, as the Stock Broker/Trading Member, shall provide the Margin Trading Facility (MTF) only in respect of such shares as permitted by the Stock Exchange and SEBI. 7. Sapphire Broking, as the Stock Broker/Trading Member, shall liquidate the securities and other collateral if the client fails to meet the margin call to comply with the margin requirement as specified by the Stock Exchange, SEBI, or Sapphire Broking. In this regard, Sapphire Broking shall also list the situations or conditions under which the securities may be liquidated (Sapphire Broking to list down situations/conditions): 8. Sapphire Broking, as the Stock Broker/Trading Member, shall not use the funds of one client to provide Margin Trading Facility (MTF) to another client, even if such use is authorized by the first client. 9. The stocks deposited as collateral with Sapphire Broking for availing the Margin Trading Facility (Collaterals) and the stocks purchased under the Margin Trading Facility (Funded Stocks) shall be distinctly identifiable and no comingling shall be allowed for the purpose of calculating the funding amount. 10. IPF shall not be available for transactions done on the Stock Exchange, through MTF, in case of any losses suffered in connection with the MTF availed by the client. <p>The rights and obligations prescribed hereinabove shall be read in conjunction with the rights and obligations as prescribed under SEBI circular no. CIR/ MIRSD/ 16/ 2011 dated August 22, 2011.</p> |
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**NSE RIGHTS AND OBLIGATIONS RELATING TO MARGIN TRADING FACILITY PROVIDED BY STOCK
BROKER/ TRADING MEMBER TO CLIENTS**

CLIENT RIGHTS

1. The Client shall receive all communications through a mode mutually agreed upon by Sapphire Broking and the Client concerning order/trade confirmations, margin calls, and decisions to liquidate positions or securities.
2. The Client shall be free to take delivery of the securities at any time by repaying the amounts paid by Sapphire Broking to the Exchange for the securities, after clearing all outstanding dues.
3. The Client has the right to change the securities offered as collateral for the Margin Trading Facility at any time, provided that the securities offered are approved for margin trading.
4. The Client may close or terminate the Margin Trading Account at any time, provided all dues are cleared.

CLIENT OBLIGATIONS

1. The Client shall provide written consent, either handwritten or through an irrefutable electronic method, agreeing to avail the Margin Trading Facility as per the terms and conditions offered by the broker, including the agreed method of communication for order/trade confirmations, margin calls, and liquidation calls for collateral, securities, or positions.
2. Client shall inform the broker of its intent to shift the identified transaction under Margin Trading Facility within the time lines specified by the broker failing which the transaction will be treated under the normal trading facility.
3. The Client shall deposit the margin amounts as specified by the Stock Broker from time to time.
4. Upon receiving a 'margin call', the Client shall promptly cover the margin deficiency within the timeframe specified by the Stock Broker.

5. By agreeing to avail the Margin Trading Facility with the broker, the Client is deemed to have authorized the broker to retain and/or pledge the securities provided as collateral or purchased under the Margin Trading Facility until the full payment of all amounts due in respect of the said transaction, including any dues owed to the broker, is made by the Client.
6. The Client shall lodge any protest or disagreement regarding transactions conducted under the Margin Trading Facility within the timelines mutually agreed upon between the Client and the broker.

STOCK BROKER RIGHTS

1. The Stock Broker and the Client may mutually agree upon the terms and conditions, including any commercial terms, prior to the commencement of the Margin Trading Facility (MTF).
2. The Stock Broker may establish its own risk management policy applicable to transactions conducted under the Margin Trading Facility (MTF). The Stock Broker reserves the right to amend this policy at any time but shall implement such amendments only after duly communicating them to the clients registered under the Margin Trading Facility.
3. The broker has the right to retain and/or pledge the securities provided as collateral or those purchased by the client under the Margin Trading Facility.
4. The broker may liquidate the securities if the client fails to meet the margin call made by the broker within the mutually agreed liquidation terms, which shall not exceed 5 working days from the date of the margin call.

STOCK BROKER OBLIGATIONS

1. Stock broker shall agree on the terms and conditions with the client before extending the Margin Trading Facility to such client. However, for clients who already have an existing trading relationship and wish to avail of the Margin Trading Facility, the stock broker may obtain consent in writing, either handwritten by the client or through any irrefutable electronic method, after having communicated the terms and conditions of the Margin Trading Facility to such existing clients.
2. The terms and conditions of the Margin Trading Facility shall be identified separately, in a distinct section, if included as part of the account opening agreement.
3. The mode of communication for order confirmation, margin calls, or liquidation of position/security shall be as agreed between the broker and the client and must be provided either in writing in the client's own hand or through any irrefutable electronic method. The stock broker shall prescribe and communicate its margin policies on haircuts and VAR margins, subject to the minimum requirements specified by SEBI and the Exchanges from time to time.
4. The Stock Broker shall continuously monitor and review the client's positions with respect to the Margin Trading Facility (MTF). It is recommended

that an appropriate alert mechanism be established to notify clients of any potential breach of margin requirements.

5. Any transaction to be considered for exposure under the Margin Trading Facility (MTF) shall be determined according to the broker's policy, with such determination made no later than T+1 day.
6. If a transaction is executed under the margin trading account, no additional confirmation will be provided indicating it is a margin trading transaction, except through the contract note.
7. If the determination of a transaction as a margin trading transaction occurs after the contract note has been issued, the broker shall provide the Client with appropriate records communicating this change in status from Normal to Margin Trading. These records should include details such as the original contract number, the margin statement, and the updated transaction data.
8. The Stock Broker shall make a 'margin call' requiring the client to place such margin; any such call shall clearly indicate the additional or deficient margin to be made good.
9. The time period for liquidation of position/security shall be in accordance with the declared policy of the broker, as consistently applied to all MTF clients. However, such liquidation shall not occur later than 5 working (trading) days from the date of the 'margin call'. If securities are liquidated, the contract note issued for such margin call-related transactions shall carry an asterisk or other identifier indicating that the transaction arose from a margin call.
10. The daily margin statements sent by the broker to the client shall distinctly identify the margin and collateral related to the Margin Trading Facility.
11. Margin Trading Accounts with no transactions for 90 days shall be settled immediately.
12. The stocks deposited as collateral with the Stock Broker for availing the Margin Trading Facility (Collateral) and the stocks purchased under the Margin Trading Facility (Funded Stocks) shall be distinctly identifiable and shall not be comingled for the purpose of computing the funding amount.
13. The Stock Broker shall close or terminate the Client's account promptly upon receiving such a request from the Client, provided that all dues under the Margin Trading Facility have been cleared by the Client.

TERMINATION OF RELATIONSHIP

1. The margin trading arrangement between the Stock Broker and the Client shall be terminated if the Stock Exchange withdraws the margin trading facility provided to the Stock Broker, or if the Stock Broker surrenders the facility, or ceases to be a member of the Stock Exchange.
2. The MTF facility may be withdrawn by the Broker if the Client commits any breach of the terms and conditions, or at any time after providing due notice to the Client and allowing reasonable time to liquidate the MTF positions as per the agreed liquidation terms, without assigning any reason. Similarly, the Client may opt to terminate the

Margin Trading Facility if the Broker commits any breach of the terms and conditions or for any other reason.

3. In the event of termination of this arrangement, the client shall promptly settle all dues owed to the Stock Broker. The Stock Broker shall have the right to immediately adjust the Margin Amount against the client's outstanding dues, and the client hereby authorizes the Stock Broker to make such adjustment.

4. After such adjustment, if any further amount is due from the client to the Stock Broker, the client shall settle the same promptly. Upon full settlement of all dues owed by the client, the Stock Broker shall release any remaining balance to the client.

5. If the client opts to terminate the margin trading facility, the broker shall promptly return to the client all collaterals provided and funded securities retained, upon full payment of all dues by the client.

I confirm that I have read and understood the Rights and Obligations related to Margin Trading Facility (MTF) issued by Exchanges and will adhere to the same.

Date: ____ - ____ - ____

Place: _____



Client Signature

NOMINEE OPT IN/ OPT OUT DECLARATION FOR INDIVIDUALS

I / We, the undersigned Client(s), hereby acknowledge that I / We have been informed about the facility of **nomination** in respect of my / our trading and demat account(s) as per the applicable rules, regulations, circulars, and guidelines issued by **SEBI and the Stock Exchanges / Depositories** from time to time.

I / We hereby declare as under:

☐ **Opt-In for Nomination**

I / We wish to register a nominee for my / our account(s). I / We understand that the nomination details are required to be provided in the nomination form available on the next page. I / We agree to submit complete and accurate nominee details as prescribed.

☐ **Opt-Out of Nomination**

I / We do **not** wish to nominate any person for my / our account(s) at present. I / We understand that opting out of nomination is my / our voluntary decision and that I / We may register or change nomination details at any future date by submitting the requisite request as per the prescribed procedure.

Client Acknowledgement

I / We confirm that the above choice has been made by me / us voluntarily and without any coercion. I / We further understand that this declaration shall remain valid until modified by me / us in writing.

Client Name: _____

Client Code: _____

PAN: _____

Date: ____ - ____ - ____

Place: _____



Client Signature

NOMINATION FORM FOR DEMAT ACCOUNTS AND MUTUAL FUND (MF) FOLIOS

Client Name		Trading Code		DP ID		Client ID	
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I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account / folio in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) *

Nominee Details				
Mandatory Details		Nominee 1	Nominee 2	Nominee 3
	Nominee Name			
	Share of nominee (%)**			
	Relationship			
	Postal Address			
	Mobile Number & Email			
	Identity Number***			
Additional Details	D.O.B. of nominee			
	Guardian			

*Joint Accounts:

Event	Transmission of Account / Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion. The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously – having nominee	Nominee
Demise of all joint holders simultaneously – having nominee	Legal heir (s) of the youngest holder

** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required. However, in case of NRI / OCI / PIO, Passport number is acceptable.

**** to be furnished only in following conditions / circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor
- Guardian: It is optional for you to provide, if the nominee is minor.

1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the AMC / DP as follows; (please tick, as appropriate)

☐ Name of the Nominee ☐ Nomination: Yes/ No

2) I hereby authorize _____ (nominee number ____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ____% of assets in the account / folio or Rs. _____. (Optional) (strike off portions that are not relevant)

3) This nomination shall supersede any prior nomination made by me / us, if any.

4) Signature(s) – As per the mode of holding in demat account(s) / MF folio(s)

Name (s) of holder(s)		Signature (s) of holder thumb impression	Signature of two witnesses*	Name of Witness & Add (wherever applicable) *
Sole / First Holder (Mr./Ms.)				
Second Holder (Mr./Ms.)				
Third Holder (Mr./Ms.)				

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

RIGHTS, ENTITLEMENT AND OBLIGATION OF THE INVESTOR AND NOMINEE:

1. If you are opening a new demat account / MF folio, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
2. You can make nomination or change nominee any number of times without any restriction.
3. You are entitled to receive acknowledgment from the AMC / DP for each instance of providing or changing nomination.
4. Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account / folio.
5. In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
6. You have the option to designate any one of your nominees to operate your account / folio, in case of your physical incapacitation, at any point of time and not just during opening of account / folio. This mandate can be changed any time you choose.
7. The signatories for this nomination form shall be as per mode of holding in the folio(s) / demat account(s) i.e.
 - 7.1 'Either or Survivor' Folios / Accounts - any one of the holders can sign
 - 7.2 'First holder' Folios / Accounts - only First holder can sign
 - 7.3 'Jointly' Folios / Accounts - all holders have to sign

TRANSMISSION ASPECTS

AMCs / DPs shall transmit the folio / account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updating of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.

In case of a joint account / folio, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.

Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC / DP.

In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% Share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

OFFICE USE ONLY

(To be filled by Depository Participant)

DP ID		Client ID	
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Nomination form accepted and registered vide Registration No.: _____

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



Signature of Authorized Signatory

ACKNOWLEDGMENT RECEIPT

APPLICATION NO

Date

We hereby acknowledge the receipt of the Account Opening and Nomination Application Form: This nomination shall supersede any prior nomination made by the account holder (s), if any.-

Consent for sharing Aadhaar Details with SEBI/KRA Agencies.

To

Regd. Office: Appt. 202, Second Floor, House No. 6616/A/7,
Samadhan Tower, Plot No. 7, Sadbhawana Nagar,
Manewada Rd, Nagpur, Maharashtra – 440027

I/We understand that Sapphire Broking is in the business of providing trading services for buying/selling of securities to its clients. I/We am/are desirous for opening of Trading and Demat account with Sapphire Broking and 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 am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA agencies only for the specific purpose validating/ maintaining/ sharing my KYC record and as audit evidence. I will have an option to request for deleting of my Aadhaar record. I hereby give my consent for receiving information including Central KYC Registry through SMS/Email on the above registered mobile 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/Dig locker XML file, along with pass code and as applicable, with SEBI, KRA, CKYC and other Institutions/ agencies/ Intermediaries with whom I have a business relationship for KYC purposes only.



(First/Sole holder)



(Second holder)



(Third holder)

Place: _____

Date: _____

PLEASE TICK WHICHEVER IS APPLICABLE

☐ **A. CLIENT DECLARATION - OPEN INTEREST POSITION**

I/We, the undersigned, have taken cognizance of circulars issued by SEBI / Commodity Exchanges from time to time on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same. I/ We hereby declare and undertake that I/ we will not exceed the position limits prescribed from time to time by Commodity Exchanges or SEBI and such position limits will be calculated in accordance with the circulars on position limits as modified from time to time. I/We undertake to inform you and keep you informed if I / any of our partners / directors I Karta I trustee or any of the partnership firms/companies / HUFs / Trusts in which I or any of above such person is a partner / director I Karta

I trustee, takes or holds any position in any commodity forward contract I commodity derivative on Exchanges through or through any other member (s) or Exchanges, to enable you to restrict our position limit as prescribed by the above referred circular of Exchanges as modified from time to time. I / We confirm that you have agreed to enter order in commodity forward contracts I commodity derivatives for me / us as your clients on Commodity Exchanges only on the basis of our above assurances and undertaking. I/We further undertake to bear any liable/penalty/charges levied by Commodity Exchanges/SEBI.

☐ **B. CONSENT TO INSTRUCTION TO MAINTAIN RUNNING ACCOUNT (VOLUNTARY)**

Retention statement –Clause -- I / We request you to maintain my/our accounts for funds on running accounts basis instead of 'bill to bill' settlement basis, unless I/we specifically request you for a payout of available free funds in the account. You may settle the accounts at Monthly/Quarterly (as opted in the account opening form) or at such other intervals as SEBI/ Exchanges may specify from time to time. I / We further authorize you to retain funds as may be permitted by Exchanges/SEBI from time to time or

towards other unbilled services and/or charges applicable on my account, while settling the accounts.

I / We understand and agree that no interest will be payable on the amount of funds retained by you as above. The standing instruction/authorization for maintaining my/our account as running account shall remain valid until revoked in writing, addressed to you.

☐ **C. CONSENT FOR ELECTRONIC CONTRACT NOTE (ECN) - DECLARATION (VOLUNTARY)**

I, _____, Client Code _____

PAN _____, registered with you as a client of NSE, BSE, and MCX, undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all trades carried out/ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is _____ (the email id must be written in own handwriting). This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other Indian language known to me.
- In the event of the Contract notes (ECN) not received by me/us in electronic mode due to the mail bouncing/failure of email servers, loss of connectivity etc. I/we agree to acknowledge the receipt of Contract Notes in physical mode, provided such Contract Notes are received by me/us within the time specified by regulatory authorities. In case you do not receive intimation of the mail bouncing, the same will be construed as my/our confirmation to the receipt of Contract Notes (ECN) in electronic mode and you will not be required to send the Contract Notes in physical mode. In this connection, I/we hereby confirm that I/we am/are agreeable to receive Contract Notes in digital mode on my/ us under mentioned email id.

I/We understand that I/we am/are required to intimate any changes in the e mail id mentioned above needs to be communicated by me/us.

[The above declaration has been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same]

Verification of the client signature done by,

**Authorised Signatory
of Member**

**Designation:
Date:**

Client Signature



**Date:
Place:**

Policy on Handling of Good till Cancelled Orders of Client.

The GTT feature allows you to place a limit order, at the limit price selected by you (the order price) and a trigger price (the trigger price), only when the trigger price is met, your GTT order will be sent to the Exchange for execution at the order price. In case the order is triggered on any day and the order price is not exactly met; all such orders will be automatically cancelled and removed from the GTT queue at Sapphire Broking at the end of trading session on the same day. All GTT orders triggered and sent to the Exchange, if not executed for any other reasons on the same day, will also be automatically cancelled. You will need to place the same GTT orders again.

- All GTT orders that do not meet the trigger price in 365 days shall be cancelled. 365 days shall be counted as consecutive calendar days from the date of placing the orders
- In case there is a change in exchange series or any corporate actions, such as; splits, bonuses, dividends, merger, reverse mergers, amalgamations, takeover, delisting, rights issue, etc. where there is a significant impact/change in the scrip price, the GTT will be cancelled at the sole discretion of Sapphire Broking, one day prior to the Ex-date of such corporate action effect taking place on the stock price
- We shall also provide an intimation to the clients about the upcoming corporate actions at least 5 days prior to the Ex-date of corporate action.



(First/Sole holder)



(Second holder)



(Third holder)

Place: _____

Date: _____

DULY STAMPED

TO ALL WHOM THESE PRESENTS SHALL COME I/we _____, (name of the BO, with full address), Indian inhabitant / Non-resident SEND GREETINGS.

Whereas I/we hold a Beneficiary account no. _____ (BO-ID) with Central Depository Service (India) Limited, with Sapphire broking (a Depository Participant registered with CDSL bearing


And Whereas I/we are registered as a client with Sapphire broking (trading member of Bombay Stock Exchange Ltd., National Stock Exchange of India Ltd., National Commodity & Derivatives Exchange Ltd., and Multi Commodity Exchange of India Ltd For dealing in the securities market)

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTHAT I/We THE ABOVE NAMED DO HEREBY NOMINATE, CONSTITUTE / AND APPOINT M/s Sapphire broking as my/our true and lawful attorney (here in after referred to as the Attorney) for me/us and on my/our behalf and in my/our name to do the following:

1. To apply for and subscribe, to on my/our instructions, to various products like Initial Public Offerings, Public Issues (shares as well as debentures), Rights etc., including redemption where applicable, through online / offline platform and to perform, do, undertake, discharge all incidental and ancillary, deeds, matters, things, functions and obligations in connection therewith.
2. I/we authorize my/our said Attorney to send me/us consolidated summary of scrip wise buy and sell positions, subscriptions to IPOs, Mutual Funds and other products by way of short messaging services or e-mails whenever such transactions are carried out on my/our behalf.
3. The said Attorney shall return to me/us the Securities that may have been received by it erroneously or that it was not entitled to receive.
4. I/we do hereby ratify and confirm and agree to ratify and confirm whatsoever my/our said Attorney shall have lawfully done or may lawfully do or cause to be done by virtue of or in exercise of any power hereby granted, given authorised or implied or intended to be so granted, given or authorised and also all lawful acts, deeds, matters and things done by the said Attorney of the nature mentioned above or incidental or relating thereto or arising there-from or deemed by my/our Attorney to be requisite or expedient to be done or performed in exercise if any power herein.
5. I/we further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue to be good, valid and effective until revoked by me/us in writing given to my Attorney and that the Power of Attorney shall not be affected by lapse of time. This Power shall continue in full force and effect until my/our Attorney shall receive written notice of revocation thereof, signed by me/us; in the event of termination thereof my/our death, until my/our Attorney shall have received actual notice thereof, and such revocation or termination shall in no way affect the validity of this Power of Attorney with reference to any transactions initiated by my/our Attorney, prior to the actual receipt by the Attorney of the notice of such revocation or termination, as above. Further, without prejudice to the generality of the aforesaid, such revocation of this Power of Attorney, in so far as any transactions, settlement of which is pending on the date of receipt of notice of revocation by my/our Attorney is concerned, shall become effective only after all pending obligations in respect of such transactions are settled on the respective settlement dates and all dues owing by me/us in connection therewith have been fully paid by me/us to the Attorney. Further, such revocation of the power and authority given to my/our Attorney hereby shall in no way affect the validity of any acts, deeds or things done or action taken by my/our Attorney for discharging any of my/our settlement obligations in respect of any transactions settlement of which is pending on the date of receipt of the notice of revocation by the Attorney.



(First/Sole holder)



(Second holder)



(Third holder)

Signature of Witness:



I/We accept (For Sapphire Broking)

Name: _____

Authorized Signature: _____

Address: _____

Date: _____

DULY STAMPED

TO ALL WHOM THESE PRESENTS SHALL COME I/we _____, (name of the BO, with full address), Indian inhabitant / Non-resident SEND GREETINGS.

Whereas I/we hold a Beneficiary account no. _____(BO-ID) with National Securities Depository Limited (NSDL), with Sapphire Broking

And Whereas I/We am/are registered as a client with Sapphire Broking, a trading member of Bombay Stock Exchange Ltd., National Stock Exchange of India Ltd., and Multi Commodity Exchange of India Ltd., for dealing in the securities market.

Dear Sir/Madam,

I/ We executing the Demat Debit and Pledge instruction in favour of Sapphire Broking, authorising them to operate aforesaid beneficiary account for the below mentioned specific purpose.

S. No.	Purpose	Signature of First Holder	Signature of Second Holder	Signature of Third Holder
1	Transfer of securities held in beneficial owner accounts of the client towards Stock Exchange related deliveries? Settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker			
2	Pledging / re-pledging of securities in favour of trading member (TM)/ clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.			
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms			
4	Tendering shares in open offers through Stock Exchange platforms			

This authorization will continue to remain valid until revoked in writing by me/us. Such revocation or termination shall in no way affect the validity of this document (DDPI) with reference to any transaction initiated by me/us, prior to the actual receipt by the Attorney of the notice of such revocation or termination, as above.

I/We accept (Sapphire Broking)

Authorised Signatory: _____ Date: ____ - ____ - _____

FATCA/ CRS Declaration/ SELF DECLARATION - INDIVIDUAL

	First/ Sole Holder	Second Holder (if any)	Third Holder (if any)
Client Code:		NA	NA
Demat Account No.			
1. Indicate (✓) your Tax Residency / Citizenship / Nationality	<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	<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:			
2. Specify City and Country of Birth			
3. Specify Country(ies) of Tax Residency/ Citizenship / Nationality / Green card holder, other than India			
4. Tax Identification Number (for U.S.A.) or its functional equivalent (other than U.S.A.)			
5. 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"/> 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"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others

DECLARATION

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

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

(First/Sole holder)

(Second holder)

(Third holder)

FATCA/ CRS Declaration/ SELF DECLARATION – NON-INDIVIDUAL

Pan: _____ Trading Code: _____ DP Code: _____

Name: _____

Please tick (✓) the applicable tax resident declaration –

1. Is "Entity" a tax resident of any country other than India ☐ Yes ☐ No

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

Sr. No.	Country	Tax Identification Number %	
1.			
2.			
3.			

% In case Tax Identification Number is not available, kindly provide its functional equivalent.

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

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

Part A (to be filled by Financial Institutions or Direct Reporting NFEs)

1.	We are a, Financial institution (Refer 1 of Part C) <input type="checkbox"/> or Direct reporting NFE (Refer 3(vii) of Part C) <input type="checkbox"/> (please tick as appropriate)	GIIN <div></div> Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below Name of sponsoring entity _____ _____
	GIIN not available (please tick as applicable)	<input type="checkbox"/> Applied for <input type="checkbox"/> Not obtained – Non-participating FI <input type="checkbox"/> Not required to apply for – please specify 2 digits sub-category <input type="checkbox"/> (Refer 1 A of Part C)

PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1.	Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)	Yes <input type="checkbox"/> (If yes, please specify any one Stock Exchange on which the stock is regularly traded) Name of Stock Exchange _____
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)	Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one Stock Exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of Stock Exchange _____
3.	Is the Entity an active NFE (Refer 2c of Part C)	Yes <input type="checkbox"/> Nature of Business _____ Please specify the sub-category of Active NFE <input type="checkbox"/> (Mention code – refer 2c of Part C)
4.	Is the Entity a passive NFE (Refer 3(ii) of Part C)	Yes <input type="checkbox"/> Nature of Business _____

Category (Please tick applicable category):

☐ Unincorporated association / body of individuals

☐ Others (Please Specify _____)

☐ Unlisted Company

☐ Public Charitable Trust

☐ Partnership Firm

☐ Religious Trust

☐ Limited Liability

Partnership Company

☐ Private Trust

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

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

Details	UBO 1	UBO 2	UBO 3
Name of UBO			
UBO Code (Refer 3 (iv) (A) of Part C)			
Country of Tax residency*			
PAN **			
Address			
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office
Tax ***			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date Of Birth			
Percentage of Holding (%) ****			




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

**If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

***In case Tax Identification Number is not available, kindly provide functional equivalent

****Attach valid documentary proof like Shareholding pattern duly self-attested by Authorized Signatory / Company Secretary

DECLARATION: I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Globe Capital Market Ltd for any modification to this information promptly. I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name, Designation & Signature			
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Signature of Authorized person only.

DECLARATION FOR HUF

To

Sapphire Broking

Regd. Office: Appt. 202, Second Floor, House No. 6616/A/7,

Samadhan Tower, Plot No. 7, Sadbhawana Nagar,

Manewada Rd, Nagpur, Maharashtra – 440027

Dear Sir/Madam,

1. Whereas the Hindu Undivided Family of is carrying on business in the firm name and style of at as given in PAN card of HUF or we intent to deal have or desire to have Securities Trading Account with Sapphire Broking (hereinafter referred as Member). We undersigned, hereby confirm and declare that we are the present adult coparceners of the said joint family. Name of Karta & Coparceners are given in below table.
2. We confirm that affairs of HUF firm are carried on mainly by the Karta on behalf and in the interest and for the benefits of all the coparceners. We hereby authorize the Karta on behalf of the HUF to deal with the member and the said trading member is hereby authorized to honor all instructions oral or written, given by him on behalf of the HUF. He is authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through the member on behalf of the HUF.
3. He is also authorize to sign execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said HUF firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every coparcener of the said joint family, including the share of the minor coparceners, if any.
4. We undertake to advise the member in writing of any change that may occur in the Karta ship or in the constitution of the said joint family or of the said HUF firm and until receipt of such notice by the member who shall be binding on the said joint family and the said HUF firm and on our respective estates. We shall, however continue to be liable jointly and severally to the member for all dues obligations for the said HUF firm in the Member's book on the date of the receipt of such notice by the member and until all such dues and obligations shall have been liquidated and discharged.
5. The names and dates of the birth of all the present minor & major coparceners of the said joint family are given below. We also undertake to inform you in writing as and when each of the said members attains the majority and is authorized to act on behalf of, and bind the said HUF firm.

List of Members / Coparcener

S. No.	Name of Coparcener/Member	Relationship with Karta	Gender	Whether Coparcener/ Member (please specify)	Date of Birth	Signature
1.		SELF		KARTA		
2.				Coparcener/Member		
3.				Coparcener/Member		
4.				Coparcener/Member		
5.				Coparcener/Member		

Signature of Karta with Rubber Stamp

LEFT BLANK ON PURPOSE

Our Services:

- Equities
- Derivatives
- Commodities
- Mutual Fund
- IPO's
- Online Trading

(For Head Office Use Only)

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Sapphire Broking

Regd. Office: Appt. 202, Second Floor, House No. 6616/A/7, Samadhan Tower, Plot No. 7, Sadbhawana Nagar, Manewada Rd, Nagpur, Maharashtra – 440027

SEBI Registration No.: INZ000329823 • AMFI Registration No.: ARN-333966 • BSE Registration No.: 6957
NSE Registration No.: 90481 • MCX Registration No.: 57565

Tel: 0712-2996300 • Email: support@sapphirebroking.com
Website: www.sapphirebroking.com