

## MANDATORY DOCUMENTS

DOCUMENT	SIGNIFICANCE	PAGE(s)
Account Opening Form	a) KYC form - Document captures the basic information about the constituent and an instruction/check list. b) Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	4-8
Rights and Obligations	Provided to client (consent declaration on Page - 8)	
Risk Disclosure Document (RDD)	Provided to client (consent declaration on Page - 8)	
Guidance Note	Provided to client (consent declaration on Page - 8)	
Policies and Procedures	Provided to client (consent declaration on Page - 8)	
Tariff Sheet	Details the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	10
FATCA CRS Declaration	Client's self declaration on holding of overseas asset if any	14-15

## VOLUNTARY CLAUSE

DOCUMENT	SIGNIFICANCE	PAGE(s)
Authorization for Electronic Contract Notes	Letter of Authorization for Electronic Contract Notes.	10
Authorization of running account/request letter	Letter or authority/request to RKSVM Commodities India Pvt. Ltd.	11

### REGISTERED OFFICE ADDRESS

807, New Delhi House, Barakhamba Road  
Connaught Place, New Delhi, 110 011  
Telephone: +91-22-6130-9999  
Fax: +91-22-6710-7492  
Email: [contact@upstox.com](mailto:contact@upstox.com), [www.upstox.com](http://www.upstox.com)

### CEO

Mr. Ravi Kumar  
Telephone: +91-22-6130-9999  
Email: [compliance@upstox.com](mailto:compliance@upstox.com), [www.upstox.com](http://www.upstox.com)

### COMPLIANCE OFFICER

Mr. Bineet Jha  
Telephone: +91-22-6130-9999  
Email: [compliance@upstox.com](mailto:compliance@upstox.com), [www.upstox.com](http://www.upstox.com)

### CORRESPONDENCE OFFICE ADDRESS

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

### SEBI | FMC REGISTRATION NUMBERS

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

For any grievance/ dispute please contact RKSVM Commodities India Pvt. Ltd. at the above address and/ or email id: [compliance@upstox.com](mailto:compliance@upstox.com) and [complaints.mcx@rksv.in](mailto:complaints.mcx@rksv.in) and/ or Phone No. +91-22-6130-9999. In case you are not satisfied with the response, please contact the concerned exchange(s) at MCX at [grievance@mcxindia.com](mailto:grievance@mcxindia.com) and Phone No. +91-22-6731-8888].

## QUICK CHECKLIST

To get your account opened faster, please make sure you're not committing any of the below common errors.

- ☐ Please affix a passport size photograph on page 4 and Page 16 and make sure you sign across it.
- ☐ Please sign all areas marked with an 'X'. There is a number next to each X, which is a count of the number of signatures - make sure you are following the count!
- ☐ Copies of all documents submitted should be self-attested.
- ☐ Cancelled cheque should link to your primary banking account - if the cheque is not personalised, i.e., name is not printed on the cheque, please attach latest Bank Statement to validate the same.
- ☐ Please ensure to fill the details in the form exactly as mentioned in the proof submitted.
- ☐ Email ID on Page 11 to be Handwritten only.

Look forward to receiving your completed form soon, and have you trading at Upstox!

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

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

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

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## COPY OF CANCELLED CHEQUE LEAF/ PASS BOOK/ BANK STATEMENT

Please ensure the document specifies the name of the constituent, MICR Code and/or IFSC code of the bank.

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

For individuals:

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

For non-individuals:

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

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## KYC REGISTRATION AGENCY (KRA)

If you have already processed your identity using a KYC system with any broker, depository participant, or other registered intermediary in India, you are exempt from the following:

1. Providing us with a Proof of Identity.
2. Providing us with a Proof of Address.
3. Ensure that your address and identity details that was registered by the intermediary is up to date. If you feel that it may be incorrect, or you have updated your address in the last 12 months, please provide the above proofs to ensure that your account is opened on time.
4. You can check if you are in the KRA system by visiting <http://www.cvlkra.com/kycpaninquiry.aspx> and entering your PAN card.

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### (A) IMPORTANT POINTS

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

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

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

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

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

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

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

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

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

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

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

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



### A. Identity Details (please see guidelines)

FULL NAME (As appearing in supporting identification document):		SARDAR SINGH RAM AVATAR	
FATHER / SPOUSE'S NAME:		SARDAR SINGH	
GENDER <input checked="" type="radio"/> MALE <input type="radio"/> FEMALE	MARITAL STATUS <input type="radio"/> SINGLE <input checked="" type="radio"/> MARRIED	DATE OF BIRTH (dd/mm/yyyy)   1   5   0   3   1   9   9   2	
NATIONALITY <input checked="" type="radio"/> INDIAN <input type="radio"/> OTHER (Please Specify)			
STATUS <input checked="" type="radio"/> RESIDENT INDIVIDUAL <input type="radio"/> NON RESIDENT <input type="radio"/> FOREIGN NATIONAL (Passport copy mandatory for NRIs & Foreign Nationals)			
PAN (Please enclose a duly attested copy)   B   G   F   P   R   5   3   3   0   A		AADHAAR NUMBER (if any) 647448390961	
PROOF OF IDENTITY SUBMITTED FOR PAN EXEMPT CASES (Please Tick ✓) <input type="radio"/> UID (AADHAAR) <input type="radio"/> PASSPORT <input type="radio"/> VOTER ID <input type="radio"/> DRIVING LICENCE <input type="radio"/> OTHERS <u>PAN</u> (Please see guideline 'D')			

### B. Address Details (Please see guidelines)

ADDRESS FOR RESIDENCE/CORRESPONDENCE: 101A 21ST CROSS 2ND STAGE GAYATRI LAYOUT, BASAVANPURA MAIN ROAD KRISHNARAJAPURAM			
CITY/TOWN/VILLAGE: BANGALORE		PIN CODE   5   6   0   0   3   6	STATE: KARNATAKA COUNTRY: India
TEL (OFF):		TEL (RES):	
MOBILE:   8   7   9   2   0   9   2   0   4   7		FAX:	
EMAIL ADDRESS: rambharlia007@gmail.com			
PROOF OF ADDRESS TO BE PROVIDED BY APPLICANT. PLEASE SUBMIT <b>ANY ONE</b> OF THE FOLLOWING VALID DOCUMENTS & <b>CHOOSE</b> THE DOCUMENT ATTACHED <input type="radio"/> PASSPORT <input type="radio"/> RATION CARD <input type="radio"/> REGISTERED LEASE/SALE AGREEMENT OF RESIDENCE <input type="radio"/> DRIVING LICENCE <input type="radio"/> VOTER IDENTITY CARD <input type="radio"/> *LATEST BANK A/c STATEMENT/PASSBOOK <input type="radio"/> *LATEST TELEPHONE BILL (Only landline) <input type="radio"/> *LATEST ELECTRICITY BILL <input type="radio"/> *LATEST GAS BILL <input checked="" type="radio"/> OTHERS (Please Specify) <u>Aadhaar</u> <small>*Not more than 3 months old. Validity/Expiry date of proof of address submitted (dd/mm/yyyy)                </small>			
PERMANENT ADDRESS OF RESIDENT APPLICANT IF DIFFERENT FROM ABOVE B1 OR OVERSEAS ADDRESS (MANDATORY) FOR NON RESIDENT APPLICANT: 101A 21ST CROSS 2ND STAGE GAYATRI LAYOUT, BASAVANPURA MAIN ROAD KRISHNARAJAPURAM			
CITY/TOWN/VILLAGE: BANGALORE		PIN CODE   5   6   0   0   3   6	STATE: KARNATAKA COUNTRY: India
PROOF OF ADDRESS TO BE PROVIDED BY APPLICANT. PLEASE SUBMIT <b>ANY ONE</b> OF THE FOLLOWING VALID DOCUMENTS & <b>CHOOSE</b> THE DOCUMENT ATTACHED <input type="radio"/> PASSPORT <input type="radio"/> RATION CARD <input type="radio"/> REGISTERED LEASE/SALE AGREEMENT OF RESIDENCE <input type="radio"/> DRIVING LICENCE <input type="radio"/> VOTER IDENTITY CARD <input type="radio"/> *LATEST BANK A/c STATEMENT/PASSBOOK <input type="radio"/> *LATEST TELEPHONE BILL (Only landline) <input type="radio"/> *LATEST ELECTRICITY BILL <input type="radio"/> *LATEST GAS BILL <input checked="" type="radio"/> OTHERS (Please Specify) <u>Aadhaar</u> <small>*Not more than 3 months old. Validity/Expiry date of proof of address submitted (dd/mm/yyyy)                </small>			

ANY OTHER INFORMATION:

### DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I may be held liable for it.

**CLIENT'S SIGNATURE [2]** X

PLACE: BANGALORE

DATE (DD/MM/YYYY) | 0 | 9 | 1 | 1 | 2 | 0 | 1 | 8 |

### FOR OFFICE USE ONLY

IPV Done ☒ on (dd/mm/yyyy) | 0 | 9 | 1 | 1 | 2 | 0 | 1 | 8 |

AMC/Intermediary name OR code	Seal/Stamp of the intermediary should contain Staff Name Designation Name of the Organization Signature Date	Seal/Stamp of the intermediary should contain Staff Name Designation Name of the Organization Signature Date
<input checked="" type="checkbox"/> (Originals verified) True copies of documents received <input type="checkbox"/> (Attested) True copies of documents received Main Intermediary	eSigned document: <b>SARDAR SINGH RAM AVATAR</b> 09.11.2018 06:58:02	

## TRADING ACCOUNT RELATED DETAILS

### SECTION A

#### PRIMARY BANKING ACCOUNT

BANK NAME <b>ICICI BANK LIMITED</b>		BRANCH ADDRESS <b>ICICI BANK TOWERS, 1, COMMISSARIAT ROAD, GROUND FLOOR, BANGALORE</b>	
CITY/TOWN/VILLAGE <b>BANGALORE URBAN</b>		PIN CODE <input type="text"/>	STATE <b>KARNATAKA</b>
			COUNTRY <b>INDIA</b>
ACCOUNT NO. <b>000201665103</b>	MICR NUMBER <input type="text"/>	IFSC CODE <b>I C I C 0 0 0 0 0 0 2</b>	
ACCOUNT TYPE <input type="radio"/> CURRENT <input checked="" type="radio"/> SAVINGS <input type="radio"/> NRI / NRE / NRO <input type="radio"/> OTHERS (Please Specify) _____			

### SECTION B

#### SECONDARY BANKING ACCOUNT

(OPTIONAL)

BANK NAME		BRANCH ADDRESS	
CITY/TOWN/VILLAGE		PIN CODE <input type="text"/>	STATE
			COUNTRY
ACCOUNT NO.	MICR NUMBER <input type="text"/>	IFSC CODE <input type="text"/>	
ACCOUNT TYPE <input type="radio"/> CURRENT <input type="radio"/> SAVINGS <input type="radio"/> NRI / NRE / NRO <input type="radio"/> OTHERS (Please Specify) _____			

### SECTION C

#### PRIMARY DEPOSITORY ACCOUNT

(OPTIONAL)

DEPOSITORY PARTICIPANT NAME		DP TYPE (NSDL/CDSL)	DEPOSITORY PARTICIPANT ID
BENEFICIARY NAME		BENEFICIARY ID (BO ID)	

### SECTION D

#### OTHER DETAILS

GROSS ANNUAL INCOME RANGE		OR	NET WORTH ON DATE (NOT OLDER THAN 1 YEAR)	
<input type="radio"/> BELOW 1 LAC <input type="radio"/> 1 - 5 LAC <input type="radio"/> 5 - 10 LAC <input checked="" type="radio"/> 10 - 25 LAC <input type="radio"/> OVER 25 LAC			VALUE _____	
			DATE (DD/MM/YYYY) <input type="text"/>	
FOR NON INDIVIDUALS: <input type="radio"/> 25 LAC - 1 CRORE <input type="radio"/> OVER 1 CRORE				
AFFILIATIONS: <input type="radio"/> POLITICALLY EXPOSED PERSON (PEP) <input type="radio"/> RELATED TO A POLITICALLY EXPOSED PERSON (RPEP)				
OCCUPATION:				
<input checked="" type="radio"/> PRIVATE SECTOR SERVICE <input type="radio"/> PUBLIC SECTOR <input type="radio"/> PROFESSIONAL <input type="radio"/> HOUSEWIFE <input type="radio"/> STUDENT <input type="radio"/> GOVERNMENT SERVICE <input type="radio"/> AGRICULTURIST <input type="radio"/> BUSINESS <input type="radio"/> RETIRED <input type="radio"/> OTHER _____				
ANY OTHER INFORMATION				

### SECTION E

#### TRADING PREFERENCES

<input checked="" type="checkbox"/> I WOULD LIKE TO TRADE ON MCX COMMODITIES	
DATE (DD/MM/YYYY) <input type="text"/>	

### SECTION F

#### PAST ACTIONS

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

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

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SECTION G DEALINGS THROUGH OTHER MEMBERS					
<b>IF CLIENT IS DEALING THROUGH ANY OTHER MEMBER, PLEASE PROVIDE THE FOLLOWING DETAILS (IN CASE DEALING WITH MULTIPLE MEMBERS, PROVIDE DETAILS OF ALL IN A SEPARATE SHEET CONTAINING ALL THE INFORMATION AS MENTIONED BELOW)</b>					
MEMBER/AUTHORIZED PERSON NAME:		EXCHANGE:		EXCHANGE REGISTRATION NUMBER:	
CONCERNED MEMBER'S NAME WITH WHOM AP IS REGISTERED:				CLIENT CODE:	
REGISTERED OFFICE ADDRESS:				CITY:	
STATE:	COUNTRY:	TELEPHONE:		FAX:	
EMAIL ID (As mentioned on Page 4): rambharlia007@gmail.com		DETAILS OF DISPUTES/DUES PENDING FROM/TO SUCH MEMBER/AP:			
WEBSITE:					
SECTION H VAT DETAILS (AS APPLICABLE, STATE WISE)					
LOCAL SALES TAX REGISTRATION NUMBER:					
VALIDITY DATE (DD/MM/YYYY) <input type="text"/>				NAME OF THE STATE:	
OTHER SALES TAX REGISTRATION NUMBER:					
VALIDITY DATE (DD/MM/YYYY) <input type="text"/>				NAME OF THE STATE:	
SECTION I SALES TAX REGISTRATION DETAILS					
LOCAL SALES TAX REGISTRATION NUMBER:					
VALIDITY DATE (DD/MM/YYYY) <input type="text"/>				NAME OF THE STATE:	
CENTRAL SALES TAX REGISTRATION NUMBER:					
VALIDITY DATE (DD/MM/YYYY) <input type="text"/>					
OTHER SALES TAX REGISTRATION NUMBER:					
VALIDITY DATE (DD/MM/YYYY) <input type="text"/>				NAME OF THE STATE:	
SECTION J INVESTMENT/TRADING EXPERIENCE AND ADDITIONAL DETAILS					
<input type="checkbox"/> NO PRIOR EXPERIENCE IN TRADING / INVESTMENT					
NUMBER OF YEARS OF COMMODITIES EXPERIENCE:			YEARS OF EXPERIENCE IN OTHER INVESTMENT FIELDS: < 1 Year		
CONTRACT NOTE PREFERENCES <input type="radio"/> ELECTRONIC CONTRACT NOTE (ECN) <input type="radio"/> PHYSICAL CONTRACT NOTE				EMAIL ADDRESS: rambharlia007@gmail.com	
SECTION K INTRODUCER DETAILS (OPTIONAL)					
INTRODUCER'S NAME:			INTRODUCER'S RELATIONSHIP:		
INTRODUCER'S STATUS: <input checked="" type="radio"/> EXISTING CLIENT <input type="radio"/> AUTHORIZED PERSON <input type="radio"/> SUB-BROKER <input type="radio"/> REMISIER <input type="radio"/> OTHERS, PLEASE SPECIFY _____					
INTRODUCER'S ADDRESS:					
INTRODUCER'S PHONE NUMBER:		INTRODUCER'S CLIENT ID: 139942		<b>INTRODUCER'S SIGNATURE</b>	
PLEASE SIGN BELOW ATTESTING TO ALL THE INFORMATION ON THIS PAGE					
CLIENT'S NAME: SARDAR SINGH RAM AVATAR					
<b>CLIENT'S SIGNATURE [4] X</b>				eSigned document: SARDAR SINGH RAM AVATAR 09.11.2018 06:58:02	

SECTION L NOMINATION DETAILS (FOR INDIVIDUALS ONLY)		
<input type="radio"/> I WISH TO NOMINATE THE FOLLOWING PERSON <input type="radio"/> I DO NOT WISH TO HAVE A NOMINEE		
NOMINEE'S NAME:		RELATIONSHIP WITH THE NOMINEE:
NOMINEE'S ADDRESS:		
NOMINEE'S PHONE NUMBER:	NOMINEE'S PAN CARD NUMBER	NOMINEE'S DATE OF BIRTH (DD/MM/YYYY)
	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>
IF NOMINEE IS A MINOR, PLEASE PROVIDE DETAILS OF HIS/HER GUARDIAN		
GUARDIAN'S NAME:		GUARDIAN'S ADDRESS:
GUARDIAN'S PHONE NUMBER:		GUARDIAN'S SIGNATURE:
TWO WITNESSES ARE REQUIRED TO ATTEST IF YOU WANT TO NOMINATE A PERSON		
PRIMARY WITNESS' NAME:		PRIMARY WITNESS' ADDRESS:
PRIMARY WITNESS' PHONE NUMBER:		PRIMARY WITNESS' SIGNATURE:
SECONDARY WITNESS' NAME:		SECONDARY WITNESS' ADDRESS:
SECONDARY WITNESS' PHONE NUMBER:		SECONDARY WITNESS' SIGNATURE:
PLEASE SIGN BELOW ATTESTING TO ALL THE INFORMATION ON THIS PAGE		
CLIENT'S NAME: SARDAR SINGH RAM AVATAR		
<b>CLIENT'S SIGNATURE [5]</b> X		DATE (DD/MM/YYYY) <div>0</div> <div>9</div> <div>1</div> <div>1</div> <div>2</div> <div>0</div> <div>1</div> <div>8</div>

## DECLARATION

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

CLIENT'S NAME SARDAR SINGH RAM AVATAR

PLACE BANGALORE

**CLIENT'S**

**SIGNATURE [6] X**

DATE (DD/MM/YYYY)

| 0 | 9 | 1 | 1 | 2 | 0 | 1 | 8 |

## FOR OFFICE USE ONLY

CLIENT'S UCC CODE

### DOCUMENTS VERIFIED WITH ORIGINALS

DOCUMENTS VERIFIED BY:

EMPLOYEE CODE:

EMPLOYEE DESIGNATION:

EMPLOYEE SIGNATURE:

ON DATE (DD/MM/YYYY)

| | | | | | | |

### CLIENT INTERVIEW

CLIENT INTERVIEWD BY:

EMPLOYEE CODE:

EMPLOYEE DESIGNATION:

EMPLOYEE SIGNATURE:

ON DATE (DD/MM/YYYY)

| | | | | | | |

### IN PERSON VERIFICATION (IPV)

IPV PERFORMED BY:

EMPLOYEE CODE:

EMPLOYEE DESIGNATION:

EMPLOYEE SIGNATURE:

ON DATE (DD/MM/YYYY)

| | | | | | | |

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

SEAL/STAMP OF THE INTERMEDIARY

EMPLOYEE SIGNATURE

DATE (DD/MM/YYYY)

| | | | | | | |



## CONSENT LETTER

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

Dear Sir / Madam,  
Subject: Consent for trading in Commodity Options

CLIENT CODE:
PAN NO:

1. I/We \_\_\_\_\_  
are registered with you as a client for trading in commodity derivatives.
2. I/We understand that SEBI has allowed trading in commodity options. Exchanges are soon likely to launch option contracts with commodity or commodity derivatives as underlying.
3. I/We have gone through the additional risk disclosure document sent by you and have appraised myself/ourselves with the risk of trading in commodity options.
4. I/We are interested in trading in commodity options and hereby accord my/our consent to trading in commodity options with confirmation of having received additional risk disclosure document disclosing risk of trading in commodity options.
5. This consent is valid till I/we revoke the same. I/We understand that I/we have right to withdraw the same at any point of time.

Yours Sincerely,

CLIENT'S NAME

PLACE BANGALORE

**CLIENT'S**

**SIGNATURE [7]** X \_\_\_\_\_

DATE (DD/MM/YYYY)

0 9 1 1 2 0 1 8

Note : In case of existing clients who are Corporate/ Trust/ Partnership, a resolution from Board of Directors/ Trustees/ partners is required clearly stating that the Corporate/ Trust/ Partnership are authorized to trade in Commodity Options and they intend to trade in Commodity Options on recognized Exchanges

## TARIFF SHEET

TO: RKSVM Commodities India Private Limited

Dear Sir or Madam,

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

### BROKERAGE CHARGE

Account opening charges would be Rs. 150/- plus applicable GST rates

Brokerage charge for MCX Commodities at Rs. 20 per order traded or 0.01% whichever is lower

For NRI's it would be Rs. 200 per order traded or 0.10% of turnover whichever is lower in BSE Cash Delivery and NSE Cash Delivery and Rs. 200 per order traded under F&O segment.

### STATUTORY CHARGES

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

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

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

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

Yours faithfully, SARDAR SINGH RAM AVATAR

CLIENT'S NAME

**CLIENT'S**

**SIGNATURE [8]** X

DATE (DD/MM/YYYY)

0 | 9 | 1 | 1 | 2 | 0 | 1 | 8 |

### FOR OFFICE USE ONLY

CLIENT'S TRADING ACCOUNT NUMBER

## AUTHORIZATION FOR RUNNING ACCOUNT

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

I am a registered client with you, and am dealing in Commodity Market, and have a RKSVM Commodities India Pvt. Ltd. client code as mentioned below.

I am aware that payout / credited from the exchange(s) against settlement of transaction as per settlement cycle is available within the prescribed time of the payout from the Exchange. It is difficult for me to make available the required funds on every pay-in of funds obligation / margin obligation, hence I request you to maintain my account on a running basis and retain the payout received / credit balance in my account for my future obligation / margin obligation or other liabilities unless I instruct otherwise.

If payment of funds is required, I shall request you in writing or through the web option for funds withdrawal on the web login. Further it may be noted that if required I may revoke this authorization at any time after giving request in writing.

This running account authorization would continue until it is revoked by me. The actual settlement of funds shall be done at least once in the preference period selected below.

☐ QUARTERLY ☐ MONTHLY

While settling the account having outstanding obligations on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

I shall bring any dispute arising from the statement of account or settlement so made to your notice within 7 working days from the date of receipt of funds or statement, as the case may be. In case of non-receipt of any such communication the statement / settlement of running account shall be considered as final as agreed and accepted by me.

Yours Faithfully,

CLIENT'S NAME	SARDAR SINGH RAM AVATAR										
<b>CLIENT'S SIGNATURE [9]</b>	<u>X</u>	DATE (DD/MM/YYYY)	<table><tr><td>0</td><td>9</td><td>1</td><td>1</td><td>2</td><td>0</td><td>1</td><td>8</td></tr></table>	0	9	1	1	2	0	1	8
0	9	1	1	2	0	1	8				

## AUTHORIZATION FOR ACCOUNT MODIFICATION

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

If I/we were to add/modify/remove any of my detail including brokerage plans with RKSVM Commodities India Pvt. Ltd, I/we authorize you to carry it out based on my request sent through an email to support@upstox.com from my registered email address or intimation through an interface provided by you, where to I have been allowed secured access.

You may put in place appropriate mechanism to confirm the request before or after its execution by way of a call from a recorded line, or otherwise, personal meeting, SMS or other such other mode as you may deem fit.

CLIENT'S NAME	SARDAR SINGH RAM AVATAR										
<b>CLIENT'S SIGNATURE [10]</b>	<u>X</u>	DATE (DD/MM/YYYY)	<table><tr><td>0</td><td>9</td><td>1</td><td>1</td><td>2</td><td>0</td><td>1</td><td>8</td></tr></table>	0	9	1	1	2	0	1	8
0	9	1	1	2	0	1	8				

## ELECTRONIC CONTRACT NOTES (ECN) - DECLARATION

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

Dear Sir,

I, SARDAR SINGH RAM AVATAR as a client of RKSVM Commodities India Pvt. Ltd., a member of MCX, as my broker undertake as follows:

1. I am aware that the Member has to provide physical contract note in respect to all the trades placed by me unless I myself want the same in the electronic form.
2. I am aware that the Member has to provide electronic contract note for my convenience on my request only.
3. 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 the trades carried out / ordered by me.
4. I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
5. My email id is mentioned below. This has been created by me and not by someone else.
6. I am aware that this declaration form should be in English or in any other Indian language known to me.
7. I am aware that non-receipt of bounced email notification by the member shall amount to delivery of contract note at the below Email ID.

EMAIL ADDRESS (Needs to be handwritten only): \_\_\_\_\_  
(AS MENTIONED ON PAGE 4)

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

Yours Faithfully,

CLIENT'S NAME: SARDAR SINGH RAM AVATAR	
ADDRESS:	
PAN CARD NUMBER   B   G   F   P   R   5   3   3   0   A	PLACE: BANGALORE
<b>CLIENT'S SIGNATURE [11]</b> X	DATE (DD/MM/YYYY)   0   9   1   1   2   0   1   8

FOR OFFICE USE ONLY	
Verification of the Client Signature done by:	
DESIGNATED OFFICER SIGNATURE	DATE (DD/MM/YYYY)
DESIGNATED OFFICER NAME:	CLIENT'S UNIQUE CLIENT CODE:

## ACKNOWLEDGEMENT LETTER

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

Dear Sir or Madam,

I/We hereby acknowledge receipt of the following documents

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

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

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

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

Yours faithfully,

CLIENT'S NAME	SARDAR SINGH RAM AVATAR
<b>CLIENT'S SIGNATURE [12]</b> <u>X</u>	DATE (DD/MM/YYYY) <u>0   9   1   1   2   0   1   8  </u>

## DISCLOSURE INFORMATION

Dear Sir or Madam,

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

Regards,

RKSV Commodities India Pvt. Ltd.

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

CLIENT'S NAME	SARDAR SINGH RAM AVATAR
<b>CLIENT'S SIGNATURE [13]</b> <u>X</u>	DATE (DD/MM/YYYY) <u>0   9   1   1   2   0   1   8  </u>

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

## CLIENT REFERRAL PROGRAM

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

SUB: Request for appointment as a Client Referrer

Dear Sir or Madam,

I wish to register with you as a client referrer using my registered client code. I intend to introduce other people to you as a client so they can avail your services.

In this regards, I declare as under:

1. I am not a Broker on any Stock Exchange or Member of any Commodity Exchange.
2. I am not an employee of any Stock Broker or Member.
3. I am not a Sub Broker, Remisier and/or Authorised Person of any Stock Broker or Member.
4. There has not been any action initiated or taken against me by FMC / SEBI or any regulatory authority.
5. I will not refer any immediate family members such as parents, siblings, spouse or children.
6. I undertake to inform you immediately in case there is any incident that results in a change in my declaration.

Should I violate any of the above specified terms, I understand that my account and/or some/all of my clients' accounts may be suspended and/or terminated.

I understand that after referring any individual to RKSV, I will email RKSV at support@upstox.com with my name, and the Individual's Name and Date of Birth from my registered email address with RKSV.

I will also fill out the Introducer Details section of the Trading Application Form with my details to confirm that I am the referrer for the new client.

In light of any change to regulatory, exchange, or broker policy, I understand that the referral arrangement is subject to modification at the discretion of the management of the company.

Yours faithfully,

CLIENT'S NAME	SARDAR SINGH RAM AVATAR		
<b>CLIENT'S SIGNATURE [14]</b> <u>X</u>	DATE (DD/MM/YYYY)	<u>0</u> <u>9</u> <u>1</u> <u>1</u> <u>2</u> <u>0</u> <u>1</u> <u>8</u>	
CLIENT ID (LEAVE BLANK IF NEW CUSTOMER)			

If you have any friends who are interested in RKSV, please leave their details below and we will reach out to them. They will be credited to you as the introducing referror.

NAME	PHONE NUMBER	EMAIL ADDRESS

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

**FATCA/CRS Annexure - Individuals (including sole-proprietors)**

(Applicable for Resident and Non-Resident Customers)

Date \_\_\_\_\_

Place \_\_\_\_\_

AOF Reference Number \_\_\_\_\_

**Details under FATCA / CRS**

<i>Please fill the information below as requested</i>	FIRST ACCOUNT HOLDER	SECOND ACCOUNT HOLDER	THIRD ACCOUNT HOLDER
Name of the Account Holder			
Customer ID			
Residence Address for Tax purpose (including city, state, country and pin code)			
Address Type: 1- Residential or Business, 2- Residential, 3-Business, 4-Registered Office			
Mobile/ Telephone Number (incl ISD and STD code)			
Date of Birth (DD-MON-YYYY)			
City of Birth			
Country of Birth			
Nationality (if of more than one country, please mention all the countries separated by a comma)			
Gender (Male, Female, Others)			
PAN			
Father's Name (mandatory if PAN not provided)			
Aadhar Number (optional)			
Spouse's Name (optional)			
Identification Type- Documents submitted as proof of identity of the individual			
Identification Number - for the identification type mentioned above (mandatory if PAN or Aadhaar not provided)			
<b>Are you a tax resident of any country other than India?</b>			
First Account Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No	Second Account Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
Third Account Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No		
If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below			

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02


Reason: Upstox Trading and Demat A/C Opening

ACCOUNT HOLDER DETAILS	NAME OF THE CUSTOMER	COUNTRY(IES) OF TAX RESIDENCY*	TAX IDENTIFICATION NUMBER (TIN)**	IDENTIFICATION TYPE (TIN or other, specify)**
First Holder				
Second Holder				
Third Holder				

\* To also include USA, where the individual is a citizen / green card holder of USA

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

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

FIRST/SOLE HOLDER SIGNATURE [15]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
		

DATE (DD/MM/YYYY)

PLACE

### FATCA/CRS Terms & Conditions

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

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

### FATCA/CRS Instructions

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are a tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form. In case the customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below

FATCA/CRS INDICIN OBSERVED (Ticked)	DOCUMENTATION REQUIRED FOR CURE OF FATCA/CRS INDICIN
U.S. place of birth	<ol style="list-style-type: none"> <li>Self-certification (in attached format) that the account holder is neither a citizen of United States of America not a resident for tax purposes.</li> <li>Non-US passport or any non-US government issues document evidencing nationality or citizenship (refer list below) AND</li> <li>Any one of the following documents: <ol style="list-style-type: none"> <li>Certified Copy of Certificate of Loss of Nationality or</li> <li>Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or why the customer did not obtain U.S. citizenship at birth</li> </ol> </li> </ol>
Residence/mailling address in a country other than India	<ol style="list-style-type: none"> <li>Self-certification (in attached format) that the account holder is neither a citizen of United States of America not a resident for tax purposes.</li> <li>Documentary evidence (refer list below)</li> </ol>
Telephone number in a country other than India (and no telephone number in India provided)	<ol style="list-style-type: none"> <li>Self-certification (in attached format) that the account holder is neither a citizen of United States of America not a resident for tax purposes.</li> <li>Documentary evidence (refer list below)</li> </ol>
Standing instructions to transfer funds to an account maintained in a country other than India	<ol style="list-style-type: none"> <li>Self-certification (in attached format) that the account holder is neither a citizen of United States of America not a resident for tax purposes.</li> <li>Documentary evidence (refer list below)</li> </ol>

**List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:**

- Certificate of residence issued by an authorized government body\*
- Valid identification issued by an authorized government body\* (e.g. Passport, National Identity Card, etc.)

\* Government or agency thereof or a municipality.

eSigned document:

SADAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening



**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.  
 B) Please fill the form in English and in BLOCK letters.  
 C) Please fill the date in DD-MM-YYYY format.  
 D) Please read section wise detailed guidelines / instructions at the end.  
 E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 F) List of two character ISO 3166 country codes is available at the end.  
 G) KYC number of applicant is mandatory for update application.  
 H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

**FOR OFFICE USE ONLY**

(To be filled by financial institution)

Application Type\* ☐ New ☐ UpdateKYC Number                (Mandatory for KYC update request)Account Type\* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small☐ **1. PERSONAL DETAILS**

(Please refer instruction A at the end)

Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	SARDAR SINGH RAM		AVATAR
Maiden Name (If any*)			
Father / Spouse Name*		SARDAR SINGH	
Mother Name*		SUKH DEVI	
Date of Birth*		1   5   0   3   1   9   9   2	
Gender*	<input checked="" type="checkbox"/> M-Male	<input type="checkbox"/> F-Female	<input type="checkbox"/> T-Transgender
Marital Status*	<input checked="" type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others
Citizenship*	<input checked="" type="checkbox"/> IN-Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> <input type="text"/> )	
Residential Status*	<input checked="" type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian	
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin	
Occupation Type*	<input checked="" type="checkbox"/> S-Service ( <input checked="" type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector )		
	<input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student )		
	<input type="checkbox"/> B-Business		
	<input type="checkbox"/> X-Not Categorised		



CLI

i]

☐ **2. TICK IF APPLICABLE** ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if Section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\*   Tax Identification Number or equivalent (If issued by jurisdiction)\*               Place / City of Birth\* ISO 3166 Country Code of Birth\*   ☐ **3. PROOF OF IDENTITY (PoI)\***

(Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)

☐ A-Passport Number                Expiry Date      ☐ B-Voter ID Card               ☐ C-PAN Card               ☐ D-Driving Licence                Expiry Date      ☐ E-UID (Aadhaar)               ☐ F-NREGA Job Card               

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

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<input type="checkbox"/> Z-Others (any document notified by the central government)		<div style="border-bottom: 1px solid black; width: 100%;"></div>									
Identification Number		<div style="border-bottom: 1px solid black; width: 100%;"></div>									
<input type="checkbox"/> S-Simplified Measures Account - Document Type code		<div style="border-bottom: 1px solid black; width: 100%;"></div>									
Identification Number		<div style="border-bottom: 1px solid black; width: 100%;"></div>									
<b>4. PROOF OF ADDRESS (PoA)*</b>											
<input type="checkbox"/> 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS											(Please refer instruction D at the end)
(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)											
Address Type*		<input type="checkbox"/> Residential / Business		<input checked="" type="checkbox"/> Residential		<input type="checkbox"/> Business		<input type="checkbox"/> Registered Office		<input type="checkbox"/> Unspecified	
Proof of Address*		<input type="checkbox"/> Driving Licence		<input type="checkbox"/> Passport		<input type="checkbox"/> UID (Aadhaar)					
		<input type="checkbox"/> Voter Identity Card		<input type="checkbox"/> NREGA Job Card		<input type="checkbox"/> Others (Please specify)					
		<input type="checkbox"/> Simplified Measures Account - Document Type code		<div style="border-bottom: 1px solid black; width: 50px;"></div>							
Address 101A 21ST CROSS 2ND STAGE GAYATRI LAYOUT, BASAVANPURA MAIN ROAD KRISHNARAJAPURAM											
City / Town / Village* BANGALORE						District* BANGALORE					
Pin / Post Code*		<div style="border-bottom: 1px solid black; width: 100px;"></div>		State / U.T Code*		<div style="border-bottom: 1px solid black; width: 50px;"></div>		ISO 3166 Country Code*		<div style="border-bottom: 1px solid black; width: 100px;"></div>	
<input type="checkbox"/> 4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS *											(Please refer instruction E at the end)
<input checked="" type="checkbox"/> Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')											
Address											
City / Town / Village*						District*					
Pin / Post Code*		<div style="border-bottom: 1px solid black; width: 100px;"></div>		State / U.T Code*		<div style="border-bottom: 1px solid black; width: 50px;"></div>		ISO 3166 Country Code*		<div style="border-bottom: 1px solid black; width: 100px;"></div>	
<input type="checkbox"/> 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES*											(Applicable if section 2 is ticked)
<input type="checkbox"/> Same as Current / Permanent / Overseas Address details						<input type="checkbox"/> Same as Correspondence / Local Address details					
Address											
City / Town / Village*						District*					
Pin / Post Code*		<div style="border-bottom: 1px solid black; width: 100px;"></div>		State / U.T Code*		<div style="border-bottom: 1px solid black; width: 50px;"></div>		ISO 3166 Country Code*		<div style="border-bottom: 1px solid black; width: 100px;"></div>	
<input type="checkbox"/> 5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID)											(Please refer instruction F at the end)
Tel. (Off)						Tel. (Res)					
<div style="border-bottom: 1px solid black; width: 100px;"></div>						<div style="border-bottom: 1px solid black; width: 100px;"></div>					
FAX						Mobile					
<div style="border-bottom: 1px solid black; width: 100px;"></div>						<div style="border-bottom: 1px solid black; width: 100px;"></div>					
Email ID rambharlia007@gmail.com											
<input type="checkbox"/> 6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1' )											
(Please refer instruction G at the end)											
<input type="checkbox"/> Addition of Related Person						<input type="checkbox"/> Deletion of Related Person					
KYC Number of Related Person (if available*)											
<div style="border-bottom: 1px solid black; width: 100%;"></div>											
Related Person Type* <input type="checkbox"/> Guardian of Minor <input type="checkbox"/> Assignee <input type="checkbox"/> Authorized Representative											
Name* <div style="display: flex; justify-content: space-between;"> <div>Prefix</div> <div>First Name</div> <div>Middle Name</div> <div>Last Name</div> </div>											
SARDAR SINGH RAMRAJAVATAR											

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON\*

(Please see instruction (H) at the end)

<input type="checkbox"/> A-Passport Number	<input type="text"/>	Expiry Date	<input type="text"/>
<input type="checkbox"/> B-Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C-PAN Card	<input type="text"/>		
<input type="checkbox"/> D-Driving Licence	<input type="text"/>	Expiry Date	<input type="text"/>
<input type="checkbox"/> E-UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F-NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z-Others (any document notified by the central government)	<input type="text"/>		
Identification Number	<input type="text"/>		
<input type="checkbox"/> S-Simplified Measures Account - Document Type code	<input type="text"/>		
Identification Number	<input type="text"/>		

☐ 7. REMARKS (If any )

8. APPLICANT DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

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

CLIENT'S

SIGNATURE [17] X

PLACE: BANGALORE

DATE (DD/MM/YYYY)

0 | 9 | 1 | 1 | 2 | 0 | 1 | 8

FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

Emp. Name:	Emp. Code:	Emp. Designation:
Emp. Branch:	Employee Signature	
DATE (DD/MM/YYYY)	<input type="text"/>	

INSTITUTION DETAILS

Emp. Name:	Institution Stamp
Emp. Code:	

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

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**General Instructions:**

1. Fields marked with '\*' are mandatory fields.
2. Tick '✓' wherever applicable.
3. Self-Certification of documents is mandatory.
4. Please fill the form in English and in BLOCK Letters.
5. Please fill all dates in DD-MM-YYYY format.
6. Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
7. KYC number of applicant is mandatory for updation of KYC details.
8. For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
9. In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

**A Clarification / Guidelines on filling 'Personal Details' section**

1. **Name:** Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. Either **father's name or spouse's name** is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

**B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India**

1. **Tax identification Number (TIN):** TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

**C Clarification / Guidelines on filling 'Proof of Identity [PoI]' section**

1. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
3. In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

**D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section**

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
3. In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

**E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section**

1. To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
2. In case of multiple correspondence / local addresses, Please fill '**Annexure A1**'

**F Clarification / Guidelines on filling 'Contact details' section**

1. Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
2. Do not add '0' in the beginning of Mobile number.

**G Clarification / Guidelines on filling 'Related Person details' section**

1. Provide KYC number of related person if available.

**H Clarification / Guidelines on filling 'Related Person details - Proof of Identity [PoI] of Related Person section**

1. Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

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

State / U.T	Code
Andaman & Nicobar	AN
Andhra Pradesh	AP
Arunachal Pradesh	AR
Assam	AS
Bihar	BR
Chandigarh	CH
Chattisgarh	CG
Dadra and Nagar Haveli	DN
Daman & Diu	DD
Delhi	DL
Goa	GA
Gujarat	GJ
Haryana	HR

State / U.T	Code
Himachal Pradesh	HP
Jammu & Kashmir	JK
Jharkhand	JH
Karnataka	KA
Kerala	KL
Lakshadweep	LD
Madhya Pradesh	MP
Maharashtra	MH
Manipur	MN
Meghalaya	ML
Mizoram	MZ
Nagaland	NL
Orissa	OR

State / U.T	Code
Pondicherry	PY
Punjab	PB
Rajasthan	RJ
Sikkim	SK
Tamil Nadu	TN
Telangana	TS
Tripura	TR
Uttar Pradesh	UP
Uttarakhand	UA
West Bengal	WB
Other	XX

## List of ISO 3166 two- digit Country Code

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

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## MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGE

S. NO.	DOCUMENT	SIGNIFICANCE	PAGE(s)
1	Account Opening Form	KYC form - Document captures the basic information about the constituent and an instruction/check list for filling KYC form.	5-9
2	Rights and Obligations	Provided to the client (consent declaration on Page 9)	
3	Risk Disclosure Document (RDD)	Provided to the client (consent declaration on Page 9)	
4	Guidance Note	Provided to the client (consent declaration on Page 9)	
5	Policies and Procedures	Provided to the client (consent declaration on Page 9)	
6	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) and charges related to demat account	11 & 23

## MANDATORY DOCUMENTS FOR OPENING OF DEMAT ACCOUNT

S. NO.	DOCUMENT	SIGNIFICANCE	PG NO's
7	Application for Demat Account	Details are required for adhering to "Know Your Client" for opening a Demat Account	14-16
8	Rights and Obligations BO-DP	Provided to the client (consent declaration on Page 18)	
9	FATCA CRS Declaration	Client's self declaration on holding of overseas asset if any	17-18

## VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

S. NO.	DOCUMENT	SIGNIFICANCE	PG NO's
10	DIS Issue	Option form for issue of Delivery Instruction Slip	19
11	Power of Attorney	Power of Attorney provided to broker to facilitate payin of securities and other authorizations	24-26
12	Letter of Authorization for Electronic Contract	Client consent letter for receiving the contract notes by Email.	12
13	Running Account Authorization	Letter of Authorization for maintaining a Running Account with RKSV.	13
14	Declaration	Declaration related to Mobile/Email ID registration. NRI Declaration	22

### REGISTERED OFFICE ADDRESS

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

### CEO (BSE/NSE)

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

### COMPLIANCE OFFICER (BSE/NSE)

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

### COMPLIANCE OFFICER (DP)

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

### CORRESPONDENCE OFFICE ADDRESS

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

### SEBI REGISTRATION NUMBERS

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

### CLEARING MEMBER INFORMATION

RKSV Securities India Pvt. Ltd  
ISSL Settlement & Transaction Services  
Limited: INF231133630, INF011133834,  
INF231308334, CMC: U74900DL2009PTC189166

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For any grievance/ dispute please contact RKSV Securities India Pvt. Ltd. at the above address and/ or email id: complaints@upstox.com and/ or Phone No. +91-22-6130-9999. In case you are not satisfied with the response, please contact the concerned exchange(s) at National Stock Exchange of India Limited at [ignse@nseindia.com and Phone No. 1800-220-058] and Bombay Stock Exchange Limited at [is@bseindia.com and Phone No. +91-22-2272-1234/33, Fax No. +91-22-2272-3677].

## QUICK CHECKLIST

**To get your account opened faster, please make sure you're not committing any of the below common errors.**

- ☐ Please affix a passport size photograph on page 5 and Page 32 and make sure you sign across it.
- ☐ Please sign all areas marked with an 'X'. There is a number next to each X, which is a count of the number of signatures - make sure you are following the count!
- ☐ Copies of all documents submitted should be self-attested.
- ☐ Cancelled cheque should link to your primary banking account - if the cheque is not personalised, i.e., name is not printed on the cheque, please attach latest Bank Statement to validate the same.
- ☐ Please ensure to fill the details in the form exactly as mentioned in the proof submitted.
- ☐ If you wish to trade in derivatives please provide a copy of one of the below Income proofs, with self-attestation
  - a) Latest 6 months bank statement (min 10,000 average balance)
  - b) Latest Income Tax Return
  - c) Salary Slip (latest 3 months)
  - d) Latest Form 16

**Look forward to receiving your completed form soon, and have you trading at Upstox!**



## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### (A) IMPORTANT POINTS

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

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

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

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

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

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

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

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

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

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

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

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

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### COPY OF CANCELLED CHEQUE LEAF/ PASS BOOK/ BANK STATEMENT

Please ensure the document specifies the name of the constituent, MICR Code and/or IFSC code of the bank.

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

For individuals:

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

For non-individuals:

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

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### KYC REGISTRATION AGENCY (KRA)

If you have already processed your identity using a KYC system with any broker, depository participant, or other registered intermediary in India, you are exempt from the following:

1. Providing us with a Proof of Identity.
2. Providing us with a Proof of Address.
3. Ensure that your address and identity details that was registered by the intermediary is up to date. If you feel that it may be incorrect, or you have updated your address in the last 12 months, please provide the above proofs to ensure that your account is opened on time.
4. You can check if you are in the KRA system by visiting <http://www.cvlkra.com/kycpaninquiry.aspx> and entering your PAN card.

## ANNEXURE 2.3

### INSTRUCTIONS TO THE APPLICANTS (BOs) FOR ACCOUNT OPENING

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

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

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

CLIENT'S SIGNATURE [1]

### A. Identity Details (please see guidelines)

FULL NAME (As appearing in supporting identification document):		SARDAR SINGH RAM AVATAR	
FATHER / SPOUSE'S NAME:		SARDAR SINGH	
GENDER <input checked="" type="radio"/> MALE <input type="radio"/> FEMALE	MARITAL STATUS <input type="radio"/> SINGLE <input checked="" type="radio"/> MARRIED	DATE OF BIRTH (dd/mm/yyyy)   1   5   0   3   1   9   9   2	
NATIONALITY <input checked="" type="radio"/> INDIAN <input type="radio"/> OTHER (Please Specify)			
STATUS <input checked="" type="radio"/> RESIDENT INDIVIDUAL <input type="radio"/> NON RESIDENT <input type="radio"/> FOREIGN NATIONAL (Passport copy mandatory for NRIs & Foreign Nationals)			
PAN (Please enclose a duly attested copy)   B   G   F   P   R   5   3   3   0   A		AADHAAR NUMBER (if any) 647448390961	
PROOF OF IDENTITY SUBMITTED FOR PAN EXEMPT CASES (Please Tick ✓) <input type="radio"/> UID (AADHAAR) <input type="radio"/> PASSPORT <input type="radio"/> VOTER ID <input type="radio"/> DRIVING LICENCE <input checked="" type="radio"/> OTHERS PAN (Please see guideline 'D')			

### B. Address Details (Please see guidelines)

ADDRESS FOR RESIDENCE/CORRESPONDENCE: 101A 21ST CROSS 2ND STAGE GAYATRI LAYOUT, BASAVANPURA MAIN ROAD KRISHNARAJAPURAM			
CITY/TOWN/VILLAGE: BANGALORE		PIN CODE   5   6   0   0   3   6	STATE: KARNATAKA COUNTRY: India
TEL (OFF):		TEL (RES):	
MOBILE:   8   7   9   2   0   9   2   0   4   7		FAX:	
EMAIL ADDRESS: rambharlia007@gmail.com			
PROOF OF ADDRESS TO BE PROVIDED BY APPLICANT. PLEASE SUBMIT <b>ANY ONE</b> OF THE FOLLOWING VALID DOCUMENTS & <b>CHOOSE</b> THE DOCUMENT ATTACHED <input type="radio"/> PASSPORT <input type="radio"/> RATION CARD <input type="radio"/> REGISTERED LEASE/SALE AGREEMENT OF RESIDENCE <input type="radio"/> DRIVING LICENCE <input type="radio"/> VOTER IDENTITY CARD <input type="radio"/> *LATEST BANK A/c STATEMENT/PASSBOOK <input type="radio"/> *LATEST TELEPHONE BILL (Only landline) <input type="radio"/> *LATEST ELECTRICITY BILL <input type="radio"/> *LATEST GAS BILL <input checked="" type="radio"/> OTHERS (Please Specify) Aadhaar *Not more than 3 months old. Validity/Expiry date of proof of address submitted (dd/mm/yyyy)			
PERMANENT ADDRESS OF RESIDENT APPLICANT IF DIFFERENT FROM ABOVE B1 OR OVERSEAS ADDRESS (MANDATORY) FOR NON RESIDENT APPLICANT: 101A 21ST CROSS 2ND STAGE GAYATRI LAYOUT, BASAVANPURA MAIN ROAD KRISHNARAJAPURAM			
CITY/TOWN/VILLAGE: BANGALORE		PIN CODE   5   6   0   0   3   6	STATE: KARNATAKA COUNTRY: India
PROOF OF ADDRESS TO BE PROVIDED BY APPLICANT. PLEASE SUBMIT <b>ANY ONE</b> OF THE FOLLOWING VALID DOCUMENTS & <b>CHOOSE</b> THE DOCUMENT ATTACHED <input type="radio"/> PASSPORT <input type="radio"/> RATION CARD <input type="radio"/> REGISTERED LEASE/SALE AGREEMENT OF RESIDENCE <input type="radio"/> DRIVING LICENCE <input type="radio"/> VOTER IDENTITY CARD <input type="radio"/> *LATEST BANK A/c STATEMENT/PASSBOOK <input type="radio"/> *LATEST TELEPHONE BILL (Only landline) <input type="radio"/> *LATEST ELECTRICITY BILL <input type="radio"/> *LATEST GAS BILL <input checked="" type="radio"/> OTHERS (Please Specify) Aadhaar *Not more than 3 months old. Validity/Expiry date of proof of address submitted (dd/mm/yyyy)			

ANY OTHER INFORMATION:

### DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I may be held liable for it.

CLIENT'S  
SIGNATURE [2] X

PLACE: BANGALORE

DATE (DD/MM/YYYY) | 0 | 9 | 1 | 1 | 2 | 0 | 1 | 8 |

### FOR OFFICE USE ONLY

AMC/Intermediary name OR code	IPV Done <input checked="" type="checkbox"/> on (dd/mm/yyyy)   0   9   1   1   2   0   1   8
<input checked="" type="checkbox"/> (Originals verified) True copies of documents received <input type="checkbox"/> (Attested) True copies of documents received Main Intermediary	Seal/Stamp of the intermediary should contain Staff Name Designation Name of the Organization Signature Date eSigned document: SARDAR SINGH RAM AVATAR 09.11.2018 06:58:02



Reason: Upstox Trading and Demat A/C Opening

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT  
(ALL THE CLAUSES MENTIONED IN THE 'RIGHTS AND OBLIGATIONS' DOCUMENT(S) SHALL BE APPLICABLE.  
ADDITIONALLY, THE CLAUSES MENTIONED HEREIN SHALL ALSO BE APPLICABLE)

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

CLIENT'S NAME SARDAR SINGH RAM AVATAR	
<b>CLIENT'S SIGNATURE [3]</b> X	DATE (DD/MM/YYYY) 09/11/2018
<b>AUTHORIZATION FOR ACCOUNT MODIFICATION</b>	
If I/we were to add/modify/remove any of my detail including brokerage plans with RKSVM Securities India Pvt. Ltd, I/we authorize you to carry it out based on my request sent through an email to support@upstox.com from my registered email address or intimation through an interface provided by you, where to I have been allowed secured access.	
If you feel the need to do so, then at your own discretion, you may put in place appropriate mechanism to confirm the request before or after its execution by way of a call from a recorded line, or otherwise, personal meeting, SMS or other such other mode as you may deem fit.	
CLIENT'S NAME SARDAR SINGH RAM AVATAR	
<b>CLIENT'S SIGNATURE [4]</b> X	DATE (DD/MM/YYYY) 09/11/2018

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

## TRADING ACCOUNT RELATED DETAILS

### SECTION A

### PRIMARY BANKING ACCOUNT

BANK NAME	ICICI BANK LIMITED	BRANCH NAME	BANGALORE - M G ROAD
BRANCH ADDRESS	ICICI BANK TOWERS, 1, COMMISSARIAT ROAD, GROUND FLOOR, BANGALORE		
CITY/TOWN/VILLAGE	PIN CODE	STATE	KARNATAKA
BANGALORE URBAN		COUNTRY	INDIA
ACCOUNT NUMBER	000201665103		
MICR NUMBER		IFSC CODE	ICIC000000002
ACCOUNT TYPE	<input type="radio"/> CURRENT <input checked="" type="radio"/> SAVINGS <input type="radio"/> NRI / NRE / NRO <input type="radio"/> OTHERS (Please Specify)		

### SECTION B

### SECONDARY BANKING ACCOUNT

(OPTIONAL)

BANK NAME	BRANCH NAME
BRANCH ADDRESS	
CITY/TOWN/VILLAGE	PIN CODE
	STATE
	COUNTRY
ACCOUNT NUMBER	
MICR NUMBER	IFSC CODE
ACCOUNT TYPE <input type="radio"/> CURRENT <input type="radio"/> SAVINGS <input type="radio"/> NRI / NRE / NRO <input type="radio"/> OTHERS (Please Specify)	

### SECTION C

### PRIMARY DEPOSITORY ACCOUNT

(OPTIONAL)

DEPOSITORY PARTICIPANT NAME	DP TYPE (NSDL/CDSL)	DEPOSITORY PARTICIPANT ID
BENEFICIARY NAME	BENEFICIARY ID (BO ID)	

### SECTION D

### OTHER DETAILS

GROSS ANNUAL INCOME RANGE	OR	NET WORTH ON DATE (NOT OLDER THAN 1 YEAR)
<input type="radio"/> BELOW 1 LAC <input type="radio"/> 1 - 5 LAC <input type="radio"/> 5 - 10 LAC <input checked="" type="radio"/> 10 - 25 LAC <input type="radio"/> OVER 25 LAC		VALUE DATE (DD/MM/YYYY)
FOR NON INDIVIDUALS: <input type="radio"/> 25 LAC - 1 CRORE <input type="radio"/> OVER 1 CRORE		
AFFILIATIONS: <input type="radio"/> POLITICALLY EXPOSED PERSON (PEP) <input type="radio"/> RELATED TO A POLITICALLY EXPOSED PERSON (RPEP)		
OCCUPATION:		
<input checked="" type="radio"/> PRIVATE SECTOR SERVICE <input type="radio"/> PUBLIC SECTOR <input type="radio"/> PROFESSIONAL <input type="radio"/> HOUSEWIFE <input type="radio"/> STUDENT <input type="radio"/> GOVERNMENT SERVICE <input type="radio"/> AGRICULTURIST <input type="radio"/> BUSINESS <input type="radio"/> RETIRED <input type="radio"/> OTHER		
ANY OTHER INFORMATION		

eSigned document:

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09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

SECTION E		TRADING PREFERENCES	
Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client. If, in future, the client wants to trade on any new segment / new exchange, separate authorization / letter should be taken from the client by the stock broker.			
<input checked="" type="checkbox"/> I WOULD LIKE TO TRADE ON THE BSE CASH SEGMENT		CLIENT'S SIGNATURE [5A] X	
<input checked="" type="checkbox"/> I WOULD LIKE TO TRADE ON THE NSE CASH SEGMENT		CLIENT'S SIGNATURE [5B] X	
<input checked="" type="checkbox"/> I WOULD LIKE TO TRADE ON THE NSE F&O SEGMENT		CLIENT'S SIGNATURE [5C] X	
<input type="checkbox"/> I WOULD LIKE TO TRADE ON THE BSE CDS SEGMENT		CLIENT'S SIGNATURE [5D] X	
<input checked="" type="checkbox"/> I WOULD LIKE TO TRADE ON THE NSE CDS SEGMENT		CLIENT'S SIGNATURE [5E] X	
DATE (DD/MM/YYYY) 09112018			
SECTION F		PAST ACTIONS	
Details of any action/ proceedings initiated/ pending/ taken by SEBI/ Stock exchange/ any other authority against the applicant/constituent or its Partners/ promoters/ whole time directors/ authorized persons in charge of dealing in securities during the last 3 years.			
SECTION G		DEALINGS THROUGH OTHER MEMBERS	
IF CLIENT IS DEALING THROUGH ANY OTHER MEMBER, PLEASE PROVIDE THE FOLLOWING DETAILS (IN CASE DEALING WITH MULTIPLE MEMBERS, PROVIDE DETAILS OF ALL IN A SEPARATE SHEET CONTAINING ALL THE INFORMATION AS MENTIONED BELOW)			
MEMBER/AUTHORIZED PERSON NAME:		EXCHANGE:	EXCHANGE REGISTRATION NUMBER:
CONCERNED MEMBER'S NAME WITH WHOM AP IS REGISTERED:			CLIENT CODE:
REGISTERED OFFICE ADDRESS:			CITY:
STATE:	COUNTRY:	TELEPHONE:	FAX:
EMAIL ADDRESS: rambharlia007@gmail.com		DETAILS OF DISPUTES/DUES PENDING FROM/TO SUCH MEMBER/AP:	
WEBSITE:			

SECTION H		ADDITIONAL DETAILS	
CONTRACT NOTE PREFERENCES: <input checked="" type="radio"/> ELECTRONIC CONTRACT NOTE (ECN) <input type="radio"/> PHYSICAL CONTRACT NOTE			
EMAIL ADDRESS (Same as mentioned on Page 5):		rambharlia007@gmail.com	
<input checked="" type="checkbox"/> I WISH TO AVAIL THE FACILITY OF INTERNET TRADING / WIRELESS TECHNOLOGY		NUMBER OF YEARS OF INVESTMENT / TRADING EXPERIENCE < 1 Year	
IN CASE OF NON-INDIVIDUALS, NAME, DESIGNATION, PAN, UID, SIGNATURE, RESIDENTIAL ADDRESS AND PHOTOGRAPHS OF PERSONS AUTHORIZED TO DEAL IN SECURITIES ON BEHALF OF COMPANY/FIRM/OTHERS			ANY OTHER INFORMATION
SECTION I		INTRODUCER DETAILS (OPTIONAL)	
NAME OF THE INTRODUCER		RELATIONSHIP WITH THE INTRODUCER	
INTRODUCER'S STATUS <input checked="" type="radio"/> EXISTING CLIENT <input type="radio"/> AUTHORIZED PERSON <input type="radio"/> SUB-BROKER <input type="radio"/> REMISIER <input type="radio"/> OTHERS, PLEASE SPECIFY _____			
INTRODUCER'S ADDRESS			
INTRODUCER'S PHONE NUMBER	INTRODUCER'S CLIENT ID 139942	INTRODUCER'S SIGNATURE	

NOMINATION DETAILS FOR TRADING ACCOUNT AS PER PAGE 16.

CLIENT'S NAME    SARDAR SINGH   RAM AVATAR	
<b>CLIENT'S SIGNATURE [6]</b> X	DATE (DD/MM/YYYY)    0   9   1   1   2   0   1   8

### DECLARATION

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

CLIENT'S NAME SARDAR SINGH RAM AVATAR

PLACE BANGALORE

**CLIENT'S**

**SIGNATURE [7]** X

DATE (DD/MM/YYYY) 0 9 1 1 2 0 1 8

### FOR OFFICE USE ONLY

CLIENT'S UCC CODE

#### VERIFICATION OF DOCUMENTS

DOCUMENTS VERIFIED BY:

EMPLOYEE CODE:

EMPLOYEE DESIGNATION:

EMPLOYEE SIGNATURE:

ON DATE (DD/MM/YYYY)

| | | | | | | |

#### CLIENT INTERVIEW

CLIENT INTERVIEWD BY:

EMPLOYEE CODE:

EMPLOYEE DESIGNATION:

EMPLOYEE SIGNATURE:

ON DATE (DD/MM/YYYY)

| | | | | | | |

#### IN PERSON VERIFICATION (IPV)

IPV PERFORMED BY:

EMPLOYEE CODE:

EMPLOYEE DESIGNATION:

EMPLOYEE SIGNATURE:

ON DATE (DD/MM/YYYY)

| | | | | | | |

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

SEAL/STAMP OF THE INTERMEDIARY

SIGNATURE OF THE AUTHORISED SIGNATORY

DATE (DD/MM/YYYY)

| | | | | | | |

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

## TARIFF SHEET

TO: RKSV Securities India Private Limited

Dear Sir or Madam,

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

### BROKERAGE CHARGE

Account opening charges would be Rs. 150/- plus applicable GST rates

Zero brokerage charge on Equity delivery trades.

Brokerage for Equity Intraday / Future / Currency would be Rs. 20 per order traded or 0.01% whichever is lower.

Brokerage for Option would be Rs. 20 per order traded.

For NRI's it would be Rs. 200 per order traded or 0.10% of turnover whichever is lower in BSE Cash Delivery and NSE Cash Delivery and Rs. 200 per order traded under F&O segment.

### STATUTORY CHARGES

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

Securities Transaction Tax, Transaction Charges, Stamp Duty, SEBI Turnover Fees, Clearing Member Charges and GST.

Electronic Contract Notes are free. Physical Contract note copies are charged at Rs. 50 per contract note (for ECN clients) + Courier charges as applicable. Depository Participant charges as levied by RKSV. Terms and Conditions can be subject to change provided the same is done as for applicable guidelines of SEBI/exchange.

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

I declare that I have read and understood the terms and conditions governing the RKSV Securities India Pvt. Ltd.

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

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

Yours faithfully, SARDAR SINGH RAM AVATAR

CLIENT'S NAME

**CLIENT'S  
SIGNATURE [8]** X

0 9 1 1 2 0 1 8  
DATE (DD/MM/YYYY)

### FOR OFFICE USE ONLY

CLIENT'S TRADING ACCOUNT NUMBER



## LETTER FOR AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES

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

SUB: Authorization for Electronic Contract Notes

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

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

**EMAIL ADDRESS (Same as mentioned on Page 5):** rambharlia007@gmail.com

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

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

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

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

I understand that, you shall send physical copy of the contract note within 24 hours if you received a bounced email.

Yours faithfully,

CLIENT'S NAME SARDAR SINGH RAM AVATAR

**CLIENT'S  
SIGNATURE [9]** X

DATE (DD/MM/YYYY) 0 | 9 | 1 | 1 | 2 | 0 | 1 | 8 |

## AUTHORIZATION FOR RUNNING ACCOUNT

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

I am a registered client with you, and am dealing in Capital Market/ Derivative Market/ Currency Market segment(s), and have a RKS SV Securities India Pvt. Ltd. client code as mentioned below.

I am aware that payout / dividend received / credited from the exchange(s) against settlement of transaction as per settlement cycle is available within 1 working day of the payout from the Exchange. It is difficult for me to make available the required funds on every pay-in of funds obligation / margin obligation, hence I request you to maintain my account on a running basis and retain the payout received / credit balance in my account for my future obligation / margin obligation or other liabilities unless I instruct otherwise.

I hereby further authorize you to debit / credit / transfer the amounts between the various segments either on the same Exchange and / or Exchanges to meet my/our obligation or various dues payable to you / Exchange(s).

If payment of funds is required, I shall request you in writing or through the web option for funds withdrawal on the web login. Further it may be noted that if required I may revoke this authorization at any time after giving request in writing.

This running account authorization would continue until it is revoked by me. The actual settlement of funds shall be done at least once in the preference period selected below:

☒ QUARTERLY ☐ MONTHLY

While settling the account having outstanding obligations on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

I shall bring any dispute arising from the statement of account or settlement so made to your notice within 30 working days from the date of receipt of funds or statement, as the case may be else it will be final

Yours faithfully,

CLIENT'S NAME SARDAR SINGH RAM AVATAR

**CLIENT'S  
SIGNATURE [10]** X

DATE (DD/MM/YYYY) 0 9 1 1 2 0 1 8



# RKSV Securities India Private Limited



Registered Office: 807, New Delhi House, Barakhamba Road, Connaught Place, New Delhi, 110 011  
Correspondence Office: 30th Floor, Sunshine Tower, Senapati Bapat Marg, Dadar (W), Mumbai - 400 013  
Telephone: +91-22-6130-9999 | Fax: +91-22-6710-7492 | Email: contact@upstox.com, www.upstox.com

## ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT

TO BE FILLED BY THE DEPOSITORY PARTICIPANT	
APPLICATION NUMBER:	DATE (DD/MM/YYYY) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
DP INTERNAL REFERENCE NUMBER:	
DP ID <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	BO ID <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
TYPE OF ACCOUNT (PLEASE TICK WHICHEVER IS APPLICABLE)	
STATUS	SUB - STATUS
<input checked="" type="radio"/> INDIVIDUAL	<input checked="" type="radio"/> INDIVIDUAL RESIDENT <input type="radio"/> INDIVIDUAL DIRECTOR'S RELATIVE INDIVIDUAL <input type="radio"/> PROMOTER <input type="radio"/> INDIVIDUAL MARGIN TRADING A/C (MANTRA) <input type="radio"/> INDIVIDUAL DIRECTOR <input type="radio"/> INDIVIDUAL HUF / AOP <input type="radio"/> MINOR <input type="radio"/> OTHERS (SPECIFY) <input type="text"/>
<input type="radio"/> NRI	<input type="radio"/> NRI REPATRIABLE <input type="radio"/> NRI REPATRIABLE PROMOTER <input type="radio"/> NRI DEPOSITORY RECEIPTS <input type="radio"/> NRI NON - REPATRIABLE <input type="radio"/> NRI NON - REPATRIABLE PROMOTER <input type="radio"/> OTHERS (SPECIFY) <input type="text"/>
<input type="radio"/> FOREIGN NATIONAL	<input type="radio"/> FOREIGN NATIONAL <input type="radio"/> FOREIGN NATIONAL DEPOSITORY RECEIPTS <input type="radio"/> OTHERS (SPECIFY) <input type="text"/>
HOLDER DETAILS (TO BE FILLED BY THE APPLICANT IN BLOCK LETTERS)	
I/We Request You To Open A Demat Account In my/ our Name as per following details:	
SOLE/FIRST HOLDER'S NAME <b>SARDAR SINGH RAM AVATAR</b>	
PAN NO. (Compulsory) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	UID NO. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
SECOND HOLDER'S NAME:	
PAN NO. (Compulsory) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	UID NO. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
THIRD HOLDER'S NAME:	
PAN NO. (Compulsory) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	UID NO. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
NAME*:	
*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc. although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.	
DETAILS OF GUARDIAN (IN CASE THE ACCOUNT HOLDER IS MINOR)	
GUARDIAN'S NAME:	
RELATIONSHIP WITH THE APPLICANT:	PAN NO. (Compulsory) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

eSigned document:

**SARDAR SINGH RAM AVATAR**


09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

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I / We instruct the DP to receive each and every credit in my/our account. (If not marked, the default option would be 'Yes')
<input checked="" type="radio"/> YES <input type="radio"/> NO
I / We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (If not marked, the default option would be 'No')
<input type="radio"/> YES <input checked="" type="radio"/> NO
Account Statement Requirement <input type="radio"/> AS PER SEBI REGULATION <input type="radio"/> DAILY <input type="radio"/> WEEKLY <input type="radio"/> FORTNIGHTLY <input checked="" type="radio"/> MONTHLY
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID
<input checked="" type="radio"/> YES <input type="radio"/> NO <u>rambharlia007@gmail.com</u>
I / We would like to share the email ID with the RTA
<input checked="" type="radio"/> YES <input type="radio"/> NO
I / We would like to receive the Annual Report (Tick the applicable box. If not marked, the default option would be in Physical)
<input type="radio"/> PHYSICAL <input type="radio"/> ELECTRONIC <input checked="" type="radio"/> BOTH PHYSICAL AND ELECTRONIC
I / We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]
<input checked="" type="radio"/> YES <input type="radio"/> NO

<p><b>Re: Confirmation to receive the account opening document and welcome letter through email and digitally signed</b></p> <p>With reference to my/our application for opening of a Demat account with you.</p> <p>I / We wish to receive all documents related to account opening documents, welcome letter and CMR copy (digitally signed) on the registered email id provided. None of these would be physically sent unless requested for the same.</p> <p>Thanking You, Yours faithfully,</p>
--

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

## BANK DETAILS (DIVIDEND BANK DETAILS)

BANK CODE (9 DIGIT MICR CODE)

IFSC CODE

I C I C 0 0 0 0 0 0 2

ACCOUNT NUMBER: 000201665103

ACCOUNT TYPE ☐ CURRENT ☒ SAVINGS ☐ NRI / NRE / NRO ☐ OTHERS (Please Specify) \_\_\_\_\_

BANK NAME: ICICI BANK LIMITED

BRANCH NAME: BANGALORE - M G ROAD

BANK BRANCH ADDRESS:

CITY: BANGALORE URBAN

STATE: KARNATAKA

COUNTRY: INDIA

PIN CODE

1. Photocopy of the canceled cheque having the name of the account holder where the cheque book is issued, (or)
2. Photocopy of the Bank Statement having name and address of the BO
3. Photocopy of the Passbook having name and address of the BO, (or)
4. Letter from the Bank.

– In case of options 2, 3 and 4 above, MICR code of the branch should be present / mentioned on the document.

**SMS ALERT FACILITY.** Refer to Terms & Conditions given as **Annexure - 2.4**

MOBILE NO. +91 8 7 9 2 0 9 2 0 4 7

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

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

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

I/We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.

☐ YES ☒ NO

I/We wish to register the following clearing member Ids under my / our below mentioned BO ID registered for TRUST

Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)

**EASI**

To register for Easi please visit our website [www.cdslindia.com](http://www.cdslindia.com)

Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

DP does not provide the easiest facility to the BOs

I / We wish to avail the following facility:

Basic Services Demat A/C facility: ☐ YES (Please sign the BSDA declaration) ☐ NO

**OTHER DETAILS****GROSS ANNUAL INCOME DETAILS (Income Range per annum)**

- ☐ UP TO RS. 1 LAC   ☐ RS. 1 LAC - RS. 5 LAC   ☐ RS. 5 LAC - RS. 10 LAC  
☒ RS. 10 LAC - RS. 25 LAC   ☐ MORE THAN RS. 25 LAC

NET WORTH AS ON DATE (NOT OLDER THAN 1 YEAR)

VALUE IN Rs. \_\_\_\_\_

DATE (DD/MM/YYYY)

OCCUPATION:

- ☒ PRIVATE SECTOR SERVICE   ☐ PUBLIC SECTOR   ☐ PROFESSIONAL   ☐ HOUSEWIFE   ☐ STUDENT  
☐ GOVERNMENT SERVICE   ☐ AGRICULTURIST   ☐ BUSINESS   ☐ RETIRED   ☐ OTHER \_\_\_\_\_

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

ANY OTHER INFORMATION:

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

**FATCA/CRS Annexure - Individuals (including sole-proprietors)**

(Applicable for Resident and Non-Resident Customers)

Date \_\_\_\_\_

Place \_\_\_\_\_

AOF Reference Number \_\_\_\_\_

**Details under FATCA / CRS**

<i>Please fill the information below as requested</i>	FIRST ACCOUNT HOLDER	SECOND ACCOUNT HOLDER	THIRD ACCOUNT HOLDER
Name of the Account Holder			
Customer ID			
Residence Address for Tax purpose (including city, state, country and pin code)			
Address Type: 1- Residential or Business, 2- Residential, 3-Business, 4-Registered Office			
Mobile/ Telephone Number (incl ISD and STD code)			
Date of Birth (DD-MON-YYYY)			
City of Birth			
Country of Birth			
Nationality (if of more than one country, please mention all the countries separated by a comma)			
Gender (Male, Female, Others)			
PAN			
Father's Name (mandatory if PAN not provided)			
Aadhar Number (optional)			
Spouse's Name (optional)			
Identification Type- Documents submitted as proof of identity of the individual			
Identification Number - for the identification type mentioned above (mandatory if PAN or Aadhaar not provided)			

**Are you a tax resident of any country other than India?**

First Account Holder    ☐ Yes    ☐ No      Second Account Holder    ☐ Yes    ☐ No  
Third Account Holder    ☐ Yes    ☐ No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02


Reason: Upstox Trading and Demat A/C Opening

ACCOUNT HOLDER DETAILS	NAME OF THE CUSTOMER	COUNTRY(IES) OF TAX RESIDENCY*	TAX IDENTIFICATION NUMBER (TIN)**	IDENTIFICATION TYPE (TIN or other, specify)**
First Holder				
Second Holder				
Third Holder				

\* To also include USA, where the individual is a citizen / green card holder of USA

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

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

FIRST/SOLE HOLDER SIGNATURE [12]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
		

DATE (DD/MM/YYYY)

PLACE

### FATCA/CRS Terms & Conditions

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

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

### FATCA/CRS Instructions

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are a tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form. In case the customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below

FATCA/CRS INDICIN OBSERVED (Ticked)	DOCUMENTATION REQUIRED FOR CURE OF FATCA/CRS INDICIN
U.S. place of birth	<ol style="list-style-type: none"> <li>Self-certification (in attached format) that the account holder is neither a citizen of United States of America not a resident for tax purposes.</li> <li>Non-US passport or any non-US government issues document evidencing nationality or citizenship (refer list below) AND</li> <li>Any one of the following documents: <ol style="list-style-type: none"> <li>Certified Copy of Certificate of Loss of Nationality or</li> <li>Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or why the customer did not obtain U.S. citizenship at birth</li> </ol> </li> </ol>
Residence/mailling address in a country other than India	<ol style="list-style-type: none"> <li>Self-certification (in attached format) that the account holder is neither a citizen of United States of America not a resident for tax purposes.</li> <li>Documentary evidence (refer list below)</li> </ol>
Telephone number in a country other than India (and no telephone number in India provided)	<ol style="list-style-type: none"> <li>Self-certification (in attached format) that the account holder is neither a citizen of United States of America not a resident for tax purposes.</li> <li>Documentary evidence (refer list below)</li> </ol>
Standing instructions to transfer funds to an account maintained in a country other than India	<ol style="list-style-type: none"> <li>Self-certification (in attached format) that the account holder is neither a citizen of United States of America not a resident for tax purposes.</li> <li>Documentary evidence (refer list below)</li> </ol>

**List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:**

- Certificate of residence issued by an authorized government body\*
- Valid identification issued by an authorized government body\* (e.g. Passport, National Identity Card, etc.)

\* Government or agency thereof or a municipality.

eSigned document:

SADAN SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

DP ID 1 2 0 8 1 8 0 0

BO ID

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

Dear Sir,

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

## OPTION 1

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


OR

## OPTION 2

I/We do not require Delivery Instruction Slip (DIS) for time being. Since I/We have issued a POA in favor of RKSV Securities India Pvt. Ltd. for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

I/We hereby select:

☐ OPTION 1☒ OPTION 2

FIRST/SOLE HOLDER SIGNATURE [13]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
 X		

DATE (DD/MM/YYYY) 0 9 1 1 2 0 1 8

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

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# NOMINATION DETAILS

DP ID 1 2 0 8 1 8 0 0

BO ID

NOMINATION REGISTRATION NO.:

PLACE

DATE (DD/MM/YYYY)

I/We the sole holder/Joint holders/Guardian (in case of minor) hereby declare that:

☒ I/We **do not wish to nominate any one for this demat account.**

☐ I/We nominate the following person who is entitled to receive security balances lying in my/our account, Particulars whereof are given below, in the event of my/our death.

NOMINATION DETAILS	NOMINEE 1	NOMINEE 2	NOMINEE 3
* FIRST NAME			
MIDDLE NAME			
* LAST NAME			
* ADDRESS			
* CITY			
* STATE			
* PIN CODE			
* COUNTRY			
TELEPHONE NO.			
FAX NO.			
PAN NO.			
UID			
EMAIL ID			
* RELATIONSHIP WITH THE BO			
DATE OF BIRTH (Mandatory if nominee is a minor) dd-mm-yyyy			
NAME OF THE GUARDIAN OF NOMINEE (if nominee is a minor)			
* FIRST NAME			
MIDDLE NAME			
* LAST NAME			
* ADDRESS OF THE GUARDIAN OF NOMINEE			
* CITY			
* STATE			
* COUNTRY			
* PIN			
* AGE			
TELEPHONE			
FAX NO.			
EMAIL ID			
* RELATION OF THE GUARDIAN WITH THE NOMINEE			

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

* PERCENTAGE OF ALLOCATION OF SECURITIES			
* RESIDUAL SECURITIES [Please select any one nominee, if tick not marked the default will be first nominee]			
<p><b>* Marked is a mandatory field</b></p> <p><b>Note</b> - Residual securities: Incase of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.</p>			
<p>This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.</p> <p><b>Note - One witness shall attest signature(s) / thumb impression(s)</b></p>			
<b>DETAILS OF THE WITNESS</b>			
NAME			
ADDRESS			
SIGNATURE			
<p>I/We have received and read the Rights and Obligations document and terms &amp; 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.</p>			

FIRST/SOLE HOLDER NAME	SECOND HOLDER NAME	THIRD HOLDER NAME
FIRST/SOLE HOLDER SIGNATURE [14]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
<div></div> <div>X</div>		

Declaration		Please strike off whichever is not applicable
I hereby declare that the mobile no./email id mentioned in the Account opening form/ request for change in mobile no./email id is my own	<input type="radio"/> Yes <input checked="" type="radio"/> No	

FIRST/SOLE HOLDER SIGNATURE [15]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
X		

[In case the option 'No' has been selected above, the request letter appended below is required to be submitted]

**REQUEST LETTER FOR REGISTRATION OF MOBILE NO./EMAIL OF PERSON BELONGING TO THE CLIENT'S FAMILY**

Please note that the mobile no./Email Address /both mentioned in the Account opening form/ request for change in mobile no. / Email belongs to Mr /Mrs. / Ms. \_\_\_\_\_ who is my \_\_\_\_\_ (relationship with the client)

[\*Refer to the instructions mentioned below]

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

\* [Only the mobile no./email of your spouse, dependent children and dependent parents can be registered in your demat account]

OPENING OF DEMAT ACCOUNT (NRI/FN)										
<p>Dear Sir/Madam,</p> <p>Re: Opening of Demat Account (NRI/FN)</p> <p>With reference to my/our application for opening of a Demat account with you. I/we hereby confirm that I am/we are Non-Resident Indian/s/Foreign National/s. I /We also confirm that I/We have complied with FEMA (erstwhile FERA) regulations and I/ we would continue to comply with FEMA (FERA) regulations.</p> <p>In case of foreign address, if address with P.O. Box No. has been submitted as Permanent and/or Correspondence address, client need to submit complete residential foreign address, under declaration at the time of opening of the account. Whenever there is a change in the residential address, Client shall inform the DP.</p> <p>Thanking you, Yours faithfully,</p>										
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #f3f3f3;"> <th style="width: 33%; text-align: center; padding: 5px;">FIRST/SOLE HOLDER SIGNATURE [17]</th> <th style="width: 33%; text-align: center; padding: 5px;">SECOND HOLDER SIGNATURE</th> <th style="width: 33%; text-align: center; padding: 5px;">THIRD HOLDER SIGNATURE</th> </tr> </thead> <tbody> <tr> <td style="height: 50px; vertical-align: bottom; padding: 5px;">  X         </td> <td></td> <td></td> </tr> </tbody> </table>			FIRST/SOLE HOLDER SIGNATURE [17]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE	X				
FIRST/SOLE HOLDER SIGNATURE [17]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE								
X										
Place: BANGALORE		Date: <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; text-align: center;">0</td> <td style="width: 20px; text-align: center;">9</td> <td style="width: 20px; text-align: center;">1</td> <td style="width: 20px; text-align: center;">1</td> <td style="width: 20px; text-align: center;">2</td> <td style="width: 20px; text-align: center;">0</td> <td style="width: 20px; text-align: center;">1</td> <td style="width: 20px; text-align: center;">8</td> </tr> </table>	0	9	1	1	2	0	1	8
0	9	1	1	2	0	1	8			



## RKSV Securities India Private Limited

Registered Office: 807, New Delhi House, Barakhamba Road, Connaught Place, New Delhi, 110 011  
Correspondence Office: 30th Floor, Sunshine Tower, Senapati Bapat Marg, Dadar (W), Mumbai - 400 013  
Telephone: +91-22-6130-9999 | Fax: +91-22-6710-7492 | Email: contact@upstox.com, www.upstox.com

### SCHEDULE A - TARIFF STRUCTURE (DP ID 12081800)

I/We agree to pay the charges as per following charge structure for our Demat account with RKSV Securities Private Limited

BO ID

DATE (DD/MM/YYYY)

CHARGE HEAD	CHARGES
Annual Maintenance Charges	<ul style="list-style-type: none"> <li>For individual Account: Rs. 150/- plus GST.</li> <li>For NRI: Rs. 500/- plus applicable GST.</li> </ul>
Transaction charges Market / Off Market / Interdepository Transactions	<ul style="list-style-type: none"> <li>Rs. 13/- plus Rs. 5.50/- (CDSL charges) per scrip.</li> </ul>
Pledge Charges Creation / Closure and Confirmation of both	<ul style="list-style-type: none"> <li>0.02% of the transaction charges subject to a minimum of Rs. 50/- plus NSDL / CDSL charges at actual.</li> </ul>
Pledge Charges for Invocation	<ul style="list-style-type: none"> <li>0.05% of the transaction charges subject to a minimum of Rs. 50/-</li> </ul>
Dematerialization Charges	<ul style="list-style-type: none"> <li>Rs 20.00 per certificate plus charges of Rs. 50/- per request.</li> </ul>
Rematerialization Charges	<ul style="list-style-type: none"> <li>For every 100 shares Rs. 25/- part thereof, subject to maximum 5,00,000 or flat fee Rs. 25/- per certificate, whichever is higher.</li> </ul>
SLB Charges	<ul style="list-style-type: none"> <li>For Securities Borrowings: Rs. 25/- plus NSDL / CDSL charges at actuals.</li> <li>For Securities Lending: Rs. 25/- plus NSDL / CDSL charges at actuals.</li> </ul>
Repurchase / Redemption Charges	<ul style="list-style-type: none"> <li>Flat Rs. 25/- per transaction plus Depository charges at actuals.</li> </ul>
Failed / Rejected Transactions	<ul style="list-style-type: none"> <li>Rs. 50/- per transaction.</li> </ul>
Demat Rejection Charges	<ul style="list-style-type: none"> <li>Rs. 35/- per rejection for every 500 gms.</li> </ul>
Adhoc / Non periodic statement requests	<ul style="list-style-type: none"> <li>Adhoc statement requests: - Rs. 25/- (Rs 500 for foreign address) per request upto 10 pages. Every additional 5 pages or a portion thereof will be charged at Rs. 10/- plus courier / postage charges.</li> </ul>
E-Mail Statement	<ul style="list-style-type: none"> <li>Periodic Bills and Transactions statements and other communications will be sent by email only. Terms and Conditions for the same to be mandatorily executed. Requests for physical statements will be charged as mentioned above.</li> </ul>
Cheque Bounce charges	<ul style="list-style-type: none"> <li>Charges will be applied based on charges as determined by our bankers.</li> </ul>

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

Interest @ 18% p.a will be charged on the outstanding bill amount if not paid within the due date. The above tariff is subject to change. Changes if any be intimated 30 days in advance. GST applicable on all above charges except stamp charges.

FIRST/SOLE HOLDER SIGNATURE [18]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
		eSigned document: <b>SARDAR SINGH RAM AVATAR</b> 09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

## POWER OF ATTORNEY (VOLUNTARY)

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

(Second Holder) \_\_\_\_\_

(Third Holder) \_\_\_\_\_

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

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

### WHEREAS

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


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

C. In the course of availing the services and for meeting the settlement Obligation thereof on the Exchanges, I/We do hereby nominate, Constitute and appoint M/s. RKSVM Securities India Private Limited (Member Broker), Hereinafter referred to as “RKSVM” acting through their Directors and/or duly authorised staff for the purpose, as my/our true and lawful attorneys for my depository account with RKSVM Securities India Private Limited (Depository Participant) DP ID **12081800**

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

Now know all men and these presents witnesseth that I/We do hereby nominate, Constitute and appoint M/s. RKSVM Securities India Private Limited (Member Broker), Hereinafter referred to as “RKSVM” acting through their Directors and/or duly authorised staff for the purpose, as my/our true and lawful attorneys to do all or any of the acts matters and things and to exercise all or any of the powers hereby specifically conferred upon RKSVM to do as under :

1. To operate depository account(s) for the purpose of transferring any collateral to the margin account and honouring delivery obligations for any transaction executed with RKSVM which is registered as a Depository Participant and a stock broker registered with Securities and Exchange Board of India (SEBI).
2. To Sign instruction on my behalf with respect to debit / credit the depository account(s) for the credit or benefit of my/our account with RKSVM, for the transactions carried by me/us with RKSVM.
3. To issue instructions relating, executing delivery/receipt instructions, pledge creation instructions, pledge closure instructions, lending and borrowing instructions, to operate the depository account by issue and receipt of instructions for the above mentioned purpose and such other authorization given by me/us severally on behalf of all of us, or all/any of us jointly, in any electronic form, in any format and at any time either through the portal of RKSVM or through the internet will be validly constituted attorney to intimate the same to the Depository participant for the purposes of debiting or crediting my account opened with the Depository Participant.
4. To validate on my/our behalf any such instruction so given to the Depository Participant(S), in written/physical or other form as may be required by the concerned depository participant.
5. For these purposes and to this extent, RKSVM is empowered by me/us, to affix their signatures to any document, form or any other record, being a delivery participant, as required by the concerned depository.
6. To transfer funds from the bank account for recovering any outstanding amount due from me/us arising out of our trading activities on the stock exchange through RKSVM.
7. I/We also undertake to pay such demat charges/fees and such other charges incurred by RKSVM under this Power of Attorney and that I/We further authorize RKSVM to debit my/our account with RKSVM with the said charges as and when the same becomes due for payment and I/we hereby undertake to pay the same immediately on demand made by RKSVM.

FIRST/SOLE HOLDER SIGNATURE [19]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
 X		eSigned document: SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Page 24


8. To enter into correspondence with market participant with respect to any transaction in any Investment Products.
9. To forward all such applications placed through the web site to the online -IPO module of the concerned Exchange or owner / issuer of "Investment Product".
10. To receive intimation from the Exchange and any other party regarding the allocation / allotment / rejection / regret of the securities or such other "Investment Product" applications / subscriptions / withdrawal or any other communications.
11. To authorize RKSV to invest on behalf of me/us and to hold the mutual fund/ asset management company(ies) based on the request given by me /us. I confirm not to hold such mutual fund/asset management company / RKSV liable for any transaction processed based on my/our request to correspond with and give notice to the corresponding asset management company / body corporate(s) / issuer / registrar and transfer agent of securities including giving instructions with regard to nomination/change in investment plans/ any other changes that may be necessitated pursuant to the authorization given by me/ us to RKSV in this regard.
12. To transfer funds from the bank account for meeting obligations arising out of my/our subscribing to such other products/facilities/services through RKSV like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares in etc.
13. To deposit/ transfer on allotment, the securities, debentures, units of the mutual funds and/or all other investments products applied through RKSV, on allotment, to my/our Beneficial Owner Demat Account opened for the purpose with the RKSV-DP.
14. To do all other acts and things as may be necessary to affect the subscription/purchase/redemption or any other transaction in any investment Product for which services are availed from RKSV.
15. To debit my Trading account towards monies/fees/charges etc. payable to RKSV or to a market participant Service provider or to any of the affiliates/subsidiaries of RKSV by virtue of I/We using /subscribing to any of the facilities/ service provided either by RKSV or through a third party service provider or by any other security or financial instrument on behalf of me/us through RKSV or any market participant. To bind ourselves with respect to any instruction given by first holder or any other holder to RKSV.
16. In case of any erroneous transfer done by attorney, the attorney may return the same to my account as soon it comes to their notice.
17. To send the consolidated summary of client wise scrip wise buy and sell position with average rates by email.
18. To authorize RKSV to transfer the securities to any of the demat accounts of RKSV as mentioned in Annexure B.
19. To do or omit to do all such act and things as TSL may in its discretion consider to be necessary or desirable in order to exercise its power hereunder or comply with any law, order rules, regulations or directions of any government or regulatory or other authorities.
20. We the joint holders of demat account agree ,ratify and confirm to bind ourselves to any instructions given by the client herein above mentioned who shall be the exclusive beneficiary of the transactions carried out pursuant to this Power of Attorney in favour of the Director/(S) and/or the Authorized Signatories, who have in token thereof, subscribed their signature thereto.

That the Power of Attorney herein referred to is revocable at any time without notice subject to such revocation shall not be applicable for any outstanding settlement obligation arising out of the trades carried out prior to receiving request for revocation of POA.

That, I/We hereby declare that all the actions taken by my/our above mentioned attorney (herein RKSV) in this regards shall be deemed to be action done by me/us and if necessary shall be ratified by me/ us on the instruction of the said attorney and that such actions will be binding on me/us.

I/We agree that RKSV is entitled to credit the proceeds of any instruction. This document shall be subject to the jurisdiction of the courts in New Delhi.

In witness whereof I/We have executed this revocable Power of Attorney on the day, date and year herein below mentioned.

<b>FIRST/SOLE HOLDER SIGNATURE [20]</b>	<b>SECOND HOLDER SIGNATURE</b>	<b>THIRD HOLDER SIGNATURE</b>
 X		

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

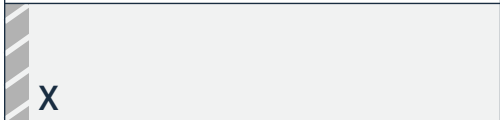
# ANNEXURE B

PARTICULARS	DP ID	CLIENT ID
CDSL CLIENT BEN A/C		
CDSL MSEI POOL A/C		
CDSL BSE PRINCIPAL A/C	16014800	00283859
CDSL NSE POOL A/C	16014800	00282534
CDSL CLIENT MARGIN A/C	12081800	00011954
CDSL MSEI EARLY PAY-IN A/C		

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

Dated at Mumbai on this \_\_\_\_\_ day of \_\_\_\_\_

SIGNED AND DELIVERED by the within names the Beneficial Owner

<b>FIRST/SOLE HOLDER SIGNATURE [21]</b>	<b>SECOND HOLDER SIGNATURE</b>	<b>THIRD HOLDER SIGNATURE</b>
		

Witness 1
NAME:
ADDRESS:
SIGNATURE:

Witness 2
NAME:
ADDRESS:
SIGNATURE:

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

## CONSENT LETTER FOR AVAILING BSE StAR MF FACILITY

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

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

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

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

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

I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund schemes.

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

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

Your faithfully,

First/Sole Holder Signature [22]	Second Joint Holder Signature	Third Joint Holder Signature
X		

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening



## DETAILS OF TERMS & CONDITIONS FOR THE INVESTOR / CLIENT FOR USING NEW BSE StAR MF FACILITY:

Pre-requisites for becoming Investor / Client for the New BSE StAR MF platform

1. The client who is desirous of investing in units of mutual fund schemes through the BSE StAR MF.
2. The client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant/ the broker who is a Mutual fund Intermediary (MFI) of the New BSE StAR MF platform.
3. The client has satisfied itself of the capacity of the Participant/MFI to deal in Mutual Fund units and wishes to execute its instruction through the Participant/MFI and the client shall from time to time continue to satisfy itself of such capability of the Participant/MFI before executing transacting through the Participant/MFI.
4. The client has approached to the Participant/MFI with the application for availing the New BSE StAR MF platform.
5. The client has submitted relevant KYC (Know Your Client) details to the Participants/MFIs.

## TERMS & CONDITIONS

1. The client shall be bound by circulars issued by BSE, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
2. The client shall notify the Participant in writing if there is any change in the to the services that Participant renders to the client information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New StAR MF or at any time thereafter.
3. The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
5. The client shall be wholly responsible for all his investment decisions and instruction.
6. The client shall ensure continuous compliance with the requirements of the BSE, SEBI and AMFI.
7. The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that the participants render.
8. The client will furnish information to the Participant in writing , if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
9. In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of BSE or ICCL. BSE StAR
10. In case of any dispute between the Participants and the investors arising out of the BSE Star Mf facility, BSE and ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

☒ I have read and understood the above and I agree to abide by the same.

First/Sole Holder Signature [23]	Second Joint Holder Signature	Third Joint Holder Signature
X		

## ACKNOWLEDGEMENT LETTER

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

Dear Sir or Madam,


I/We hereby acknowledge receipt of the following documents

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

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

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

Yours faithfully,

FIRST/SOLE HOLDER SIGNATURE [24]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
		

DATE (DD/MM/YYYY)

0 | 9 | 1 | 1 | 2 | 0 | 1 | 8

## CLIENT REFERRAL PROGRAM

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

SUB: Request for appointment as a Client Referrer

Dear Sir or Madam,

I wish to register with you as a client referrer using my registered client code. I intend to introduce other people to you as a client so they can avail your services.

In this regards, I declare as under:

1. I am not a Broker on any Stock Exchange or Member of any Commodity Exchange.
2. I am not an employee of any Stock Broker or Member.
3. I am not a Sub Broker, Remisier and/or Authorised Person of any Stock Broker or Member.
4. There has not been any action initiated or taken against me by FMC / SEBI / Exchange or any regulatory authority.
5. I will not refer any immediate family members such as parents, siblings, spouse or children.
6. I undertake to inform you immediately in case there is any incident that results in a change in my declaration.

Should I violate any of the above specified terms, I understand that my account and/or some/all of my clients' accounts may be suspended and/or terminated.

I understand that after referring any individual to RKSVM, I will email RKSVM at support@upstox.com with my name, and the Individual's Name and Date of Birth from my registered email address with RKSVM.

I will also fill out the Introducer Details section of the Trading Application Form with my details to confirm that I am the referrer for the new client.

In light of any change to regulatory, exchange, or broker policy, I understand that the referral arrangement is subject to modification at the discretion of the management of the company.

Yours faithfully,

CLIENT'S NAME SARDAR SINGH RAM AVATAR

**CLIENT'S  
SIGNATURE [25]** X

DATE (DD/MM/YYYY) 0 | 9 | 1 | 1 | 2 | 0 | 1 | 8 |

CLIENT ID (LEAVE BLANK IF NEW CUSTOMER)

If you have any friends who are interested in RKSVM, please leave their details below and we will reach out to them. They will be credited to you as the introducing referror.

NAME	PHONE NUMBER	EMAIL ADDRESS

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

V 3.0.0

## VOLUNTARY

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

Dear Sir,

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

Ref: DP ID: 


1	2	0	8	1	8	0	0
---	---	---	---	---	---	---	---

BO ID 

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

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

Thanking you,  
Yours truly,

<b>FIRST/SOLE HOLDER SIGNATURE [26]</b>	<b>SECOND HOLDER SIGNATURE</b>	<b>THIRD HOLDER SIGNATURE</b>
		

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

V 3.0.0

**Important Instructions:**

- A) Fields marked with '\*\*' are mandatory fields.  
 B) Please fill the form in English and in BLOCK letters.  
 C) Please fill the date in DD-MM-YYYY format.  
 D) Please read section wise detailed guidelines / instructions at the end.  
 E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 F) List of two character ISO 3166 country codes is available at the end.  
 G) KYC number of applicant is mandatory for update application.  
 H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

**FOR OFFICE USE ONLY**

(To be filled by financial institution)

Application Type\* ☐ New ☐ UpdateKYC Number                 (Mandatory for KYC update request)Account Type\* ☐ Normal ☐ Simplified ( or low risk customers) ☐ Small☐ 1. PERSONAL DETAILS

(Please refer instruction A at the end)

Prefix First Name Middle Name Last Name  
☐ Name\* (Same as ID proof) SARDAR SINGH RAM AVATAR

Maiden Name (If any\*)

Father / Spouse Name\* SARDAR SINGH

Mother Name\* SUKH DEVI

Date of Birth\*  1  5  0  3  1  9  9  2 

CLI

Gender\* ☒ M-Male ☐ F- Female ☐ T-Transgender  
 Marital Status\* ☒ Married ☐ Unmarried ☐ Others  
 Citizenship\* ☒ IN-Indian ☐ Others (ISO 3166 Country Code   )  
 Residential Status\* ☒ Resident Individual ☐ Non Resident Indian  
☐ Foreign National ☐ Person of Indian Origin  
 Occupation Type\* ☒ S-Service ( ☒ Private Sector ☐ Public Sector ☐ Government Sector )  
☐ O-Others ( ☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student )  
☐ B-Business  
☐ X-Not Categorised

☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA

(Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if Section 2 is ticked) ISO

3166 Country Code of Jurisdiction of Residence\*  Tax Identification Number or equivalent (If issued by jurisdiction)\*              

Place / City of Birth\*

ISO 3166 Country Code of Birth\*  ☐ 3. PROOF OF IDENTITY (PoI)\*

(Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)

☐ A-Passport Number                 Expiry Date      ☐ B-Voter ID Card              ☐ C-PAN Card  B  G  F  P  R  5  3  3  0  A ☐ D-Driving Licence                 Expiry Date      ☐ E-UID (Aadhaar)  6  4  7  4  4  8  3  9  0  9  6  1 ☐ F-NREGA Job Card              

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

<input type="checkbox"/> Z-Others (any document notified by the central government)		<div style="border-bottom: 1px solid black; width: 100%;"></div>	
Identification Number		<div style="border-bottom: 1px solid black; width: 100%;"></div>	
<input type="checkbox"/> S-Simplified Measures Account - Document Type code		<div style="border-bottom: 1px solid black; width: 100%;"></div>	
Identification Number		<div style="border-bottom: 1px solid black; width: 100%;"></div>	
4. PROOF OF ADDRESS (PoA)*			
<input type="checkbox"/> 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS		(Please refer instruction D at the end)	
(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)			
Address Type*		<input type="checkbox"/> Residential / Business <input checked="" type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified	
Proof of Address*		<input type="checkbox"/> Driving Licence Voter <input type="checkbox"/> Passport NREGA <input type="checkbox"/> UID (Aadhaar)	
		<input type="checkbox"/> Identity Card <input type="checkbox"/> Job Card <input type="checkbox"/> Others (Please specify) _____	
		<input type="checkbox"/> Simplified Measures Account - Document Type code <div style="border-bottom: 1px solid black; width: 50px; display: inline-block;"></div>	
Address 101A 21ST CROSS 2ND STAGE GAYATRI LAYOUT, BASAVANPURA MAIN ROAD KRISHNARAJAPURAM			
City / Town / Village*		District*	
BANGALORE		BANGALORE	
Pin / Post Code*		State / U.T Code*	
<div style="border-bottom: 1px solid black; width: 100%;"></div>		<div style="border-bottom: 1px solid black; width: 100%;"></div>	
		ISO 3166 Country Code*	
		<div style="border-bottom: 1px solid black; width: 100%;"></div>	
<input type="checkbox"/> 4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS *		(Please refer instruction E at the end)	
<input checked="" type="checkbox"/> Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill Annexure A1')			
Address			
City / Town / Village*		District*	
<div style="border-bottom: 1px solid black; width: 100%;"></div>		<div style="border-bottom: 1px solid black; width: 100%;"></div>	
Pin / Post Code*		State / U.T Code*	
<div style="border-bottom: 1px solid black; width: 100%;"></div>		<div style="border-bottom: 1px solid black; width: 100%;"></div>	
		ISO 3166 Country Code*	
		<div style="border-bottom: 1px solid black; width: 100%;"></div>	
<input type="checkbox"/> 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES*		(Applicable if section 2 is ticked)	
<input type="checkbox"/> Same as Current / Permanent / Overseas Address details		<input type="checkbox"/> Same as Correspondence / Local Address details	
Address			
City / Town / Village*		District*	
<div style="border-bottom: 1px solid black; width: 100%;"></div>		<div style="border-bottom: 1px solid black; width: 100%;"></div>	
Pin / Post Code*		State / U.T Code*	
<div style="border-bottom: 1px solid black; width: 100%;"></div>		<div style="border-bottom: 1px solid black; width: 100%;"></div>	
		ISO 3166 Country Code*	
		<div style="border-bottom: 1px solid black; width: 100%;"></div>	
<input type="checkbox"/> 5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID)		(Please refer instruction F at the end)	
Tel. (Off)		Tel. (Res)	
<div style="border-bottom: 1px solid black; width: 100%;"></div>		<div style="border-bottom: 1px solid black; width: 100%;"></div>	
FAX		Mobile	
<div style="border-bottom: 1px solid black; width: 100%;"></div>		<div style="border-bottom: 1px solid black; width: 100%;"></div>	
Email ID      rambharlia007@gmail.com			
<input type="checkbox"/> 6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill Annexure B1')		(Please refer instruction G at the end)	
<input type="checkbox"/> Addition of Related Person		<input type="checkbox"/> Deletion of Related Person	
KYC Number of Related Person (if available*)			
<div style="border-bottom: 1px solid black; width: 100%;"></div>			
Related Person Type*			
<input type="checkbox"/> Guardian of Minor <input type="checkbox"/> Assignee <input type="checkbox"/> Authorized Representative			
Name*      Prefix      First Name      Middle Name      Last Name			
SARDAR SINGH RAMDEVATAR			

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON\*

(Please see instruction (H) at the end)

<input type="checkbox"/> A-Passport Number	<input type="text"/>	Expiry Date	<input type="text"/>
<input type="checkbox"/> B-Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C-PAN Card	<input type="text"/>		
<input type="checkbox"/> D-Driving Licence	<input type="text"/>	Expiry Date	<input type="text"/>
<input type="checkbox"/> E-UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F-NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z-Others (any document notified by the central government)	<input type="text"/>		
Identification Number	<input type="text"/>		
<input type="checkbox"/> S-Simplified Measures Account - Document Type code	<input type="text"/>		
Identification Number	<input type="text"/>		

☐ 7. REMARKS (If any )

8. APPLICANT DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

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

CLIENT'S

SIGNATURE [27] X

PLACE: BANGALORE

DATE (DD/MM/YYYY)

0 9 1 1 2 0 1 8

FOR OFFICE USE ONLY

Documents Received ☐ Certified copies

KYC VERIFICATION CARRIED OUT BY

Emp. Name:	Emp. Code:	Emp. Designation:
Emp. Branch:	Employee Signature	
DATE (DD/MM/YYYY)	<input type="text"/>	

INSTITUTION DETAILS

Emp. Name:	Institution Stamp
Emp. Code:	

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening

## General Instructions:

1. Fields marked with “\*” are mandatory fields
2. Tick ‘✓’ wherever applicable.
3. Self-Certification of documents is mandatory.
4. Please fill the form in English and in BLOCK Letters.
5. Please fill all dates in DD-MM-YYYY format.
6. Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
7. KYC number of applicant is mandatory for updation of KYC details.
8. For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
9. In case of ‘Small Account type’ only personal details at section number 1 and 2, photograph, signature and self-certification required.

## A Clarification / Guidelines on filling ‘Personal Details’ section

1. Name: Please state the name with Prefix (M /Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. Either father’s name or spouse’s name is to be mandatorily furnished. In case PAN is not available father’s name is mandatory.

## B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

1. Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a “Functional equivalent”), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

## C Clarification / Guidelines on filling ‘Proof of Identity [Pol]’ section

1. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. Mention identification / reference number if ‘Z- Others (any document notified by the central government)’ is ticked.
3. In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and underlined relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant’s photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

## D Clarification / Guidelines on filling ‘Proof of Address [PoA] - Current / Permanent / Overseas Address details’ section

1. PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
2. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
3. In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and underlined relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

## E Clarification / Guidelines on filling ‘Proof of Address [PoA] - Correspondence / Local Address details’ section

1. To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
2. In case of multiple correspondence / local addresses, Please fill ‘Annexure A1’

## F Clarification / Guidelines on filling ‘Contact details’ section

1. Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
2. Do not add ‘0’ in the beginning of Mobile number.

## G Clarification / Guidelines on filling ‘Related Person details’ section

1. Provide KYC number of related person if available.

## H Clarification / Guidelines on filling ‘Related Person details – Proof of Identity [Pol] of Related Person’ section

1. Mention identification / reference number if ‘Z- Others (any document notified by the central government)’ is ticked.

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening



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

State / U.T	Code
Andaman & Nicobar	AN
Andhra Pradesh	AP
Arunachal Pradesh	AR
Assam	AS
Bihar	BR
Chandigarh	CH
Chattisgarh	CG
Dadra and Nagar Haveli	DN
Daman & Diu	DD
Delhi	DL
Goa	GA
Gujarat	GJ
Haryana	HR

State / U.T	Code
Himachal Pradesh	HP
Jammu & Kashmir	JK
Jharkhand	JH
Karnataka	KA
Kerala	KL
Lakshadweep	LD
Madhya Pradesh	MP
Maharashtra	MH
Manipur	MN
Meghalaya	ML
Mizoram	MZ
Nagaland	NL
Orissa	OR

State / U.T	Code
Pondicherry	PY
Punjab	PB
Rajasthan	RJ
Sikkim	SK
Tamil Nadu	TN
Telangana	TS
Tripura	TR
Uttar Pradesh	UP
Uttarakhand	UA
West Bengal	WB
Other	XX

## List of ISO 3166 two- digit Country Code

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

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09.11.2018 06:58:02

Reason: Upstox Trading and Demat A/C Opening



Date	Description	Amount	Type
20181107	UPI/831110111379/Payment from Ph/Q79831316@ybl/Federal Bank/	20.00	DR
20181107	UPI/831110725837/Pay to account/sbap-979144136@/CHATISGARH R G	1000.00	CR
20181105	UPI/830939437960/Payment from Ph/Q79831316@ybl/Federal Bank/	25.00	DR
20181105	UPI/830911780755/Fund transfer t/zerodha1@hdfcba/Bhilwara Urban/	4000.00	DR
20181105	UPI/830911826151/Ram/surajbharlia007/CHATISGARH R G	4000.00	CR
20181103	MMT/IMPS/830712862596/NA/Raswin/UTIB0000009	3500.00	DR
20181103	MMT/IMPS/830712961513/MOBUA0108932545/Mr RAMAVA/STATE BANK OF I	2500.00	CR
20181103	BIL/NEFT/001569422853/Citi payment/RAM S AVAT/CITI0000003	27166.00	DR
20181103	UPI/830708266462/Payment from Ph/TPSLCARD@ybl/The Udaipur Mah/	394.00	DR
20181102	UPI/830660014397/Payment from Ph/Q55937664@ybl/The Udaipur Mah/	100.00	DR
20181102	BIL/001568958324/ICICI BANK CREDIT CA/437551121101	46078.33	DR
20181102	MMT/IMPS/830616017373/RAM AVATAR/CITI BANK	74000.00	CR
20181102	UPI/830644148255/Payment from Ph/Q04472197@ybl/The Udaipur Mah/	4.25	DR
20181101	UPI/830530142463/Payment from Ph/Q79831316@ybl/Federal Bank/	25.00	DR
20181031	UPI/830457391645/Payment from Ph/Q55937664@ybl/The Udaipur Mah/	100.00	DR
20181031	UPI/830432894769/Payment from Ph/Q04472197@ybl/The Udaipur Mah/	14.25	DR
20181031	UPI/830415444039/Fund transfer t/zerodha1@hdfcba/Bhilwara Urban/	1000.00	DR
20181030	UPI/830354776253/Payment from Ph/Q55937664@ybl/The Udaipur Mah/	90.00	DR
20181030	UPI/830335460813/Oid6406401444@P/add-money@paytm/Paytm Payments/	50.00	DR
20181030	UPI/830330141013/Payment from Ph/Q04472197@ybl/The Udaipur Mah/	74.25	DR

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20181029	UPI/830218005983/Payment from Ph/Q55937664@ybl/The Udaipur Mah/	75.00	DR
20181029	UPI/830214491402/Payment from Ph/Q04472197@ybl/The Udaipur Mah/	13.79	DR
20181029	UPI/830121736549/UPI/1409adarsh@okic/Karnataka Bank	245.00	CR
20181029	UPI/830145859100/Payment from Ph/Q55937664@ybl/The Udaipur Mah/	162.00	DR
20181029	UPI/830109694088/Open meeting/1409adarsh@okic/Karnataka Bank/	100.00	DR
20181029	UPI/830033803190/Oid6382082969@P/add-money@paytm/Paytm Payments/	24.00	DR
20181029	UPI/830000723445/Drivezy/bhaarat badiger@/ICICI Bank	450.00	CR
20181025	MMT/IMPS/829815282869/Bhabhi/SBIN0041206	50000.00	DR
20181025	BY CASH-BANGALORE - BHATARAHALLI	50000.00	CR
20181025	BIL/ONL/001562626580/ZERODH A/5404460341589286	200.00	DR
20181023	UPI/829618314493/UPI/goog-payment@ok/Axis Bank Ltd.	13.00	CR
20181023	UPI/829618990773/Sunday dinner/1409adarsh@okic/Karnataka Bank	280.00	CR
20181022	UPI/829544891563/Oid6346659640@P/add-money@paytm/Paytm Payments/	164.24	DR
20181022	UPI/829510369648/For party/vashistks@okhdf/Bhilwara Urban/	700.00	DR
20181022	UPI/829433940450/Payment from Ph/Q79831316@ybl/Federal Bank/	30.00	DR

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20181020	MMT/IMPS/829319596161/Payout-OCT-for-/TechProces to RAM AVATAR	2.00	CR
20181020	BIL/ONL/001559768338/BILL DESK/CLEARTAX PICI6810589	3000.00	DR
20181020	MMT/IMPS/829312396252/NA/SBI N0012660	2000.00	DR
20181019	UPI/829210382824/UPI/rakeshbharlia@o/CHATISGARH R G	7500.00	CR
20181015	MMT/IMPS/828813734761/Audit/S BIN0012660	7200.00	DR
20181015	MMT/IMPS/828813638604/NA/SBI N0012660	7500.00	DR
20181015	UPI/828812190622/For mobile bal/vashistks@okhdf/Bhilwara Urban/	1699.00	DR
20181015	MMT/IMPS/828812734087/comments/Suraj Bhan/Paytm Payments	4000.00	CR
20181015	UPI/828848856627/Payment from Ph/9741480000@ybl/CHATISGARH R G	3000.00	CR
20181015	UPI/828713784444/For power bank/raswinrasheed.5/ICICI Bank/	650.00	DR
20181015	UPI/828614418894/UPI/goog-payment@ok/Axis Bank Ltd.	13.00	CR
20181015	UPI/828612256847/Emi/raswinrashheed.5/ICICI Bank	5000.00	CR
20181012	BIL/BPAY/001554790029/RELIANCE M/RMDIRECT-E04680	500.00	DR
20181012	MMT/IMPS/828500938366/RAM AVATAR/CITI BANK	2000.00	CR

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**DEVON SOFTWARE SERVICES PRIVATE LIMITED**  
LG Floor, Bldg 2A-West Tower, Embassy Tech Village, Outer Ring Road, Deverabeesanahalli Village, Varthur  
Hobli, Bangalore - 560087, KARNATAKA

**Payslip for the month of October 2018**

Name:	Ram Avatar [PRO530]	Bank Name:	Citibank
Join Date:	23 Apr 2018	Bank Account No.:	5471965815
Designation:	SENIOR DEVELOPMENT SPECIALIST	PF No.:	PYKRP00457830000010532
Department:	SEZ	PF UAN:	101303418213
Location:	Bangalore	ESI No.:	
Effective Work Days:	31	PAN No.:	BGFPR5330A
Days In Month:	31	LOP:	0
Earnings		Deductions	
	Full	Actual	Actual
BASIC	40,750.00	40,750.00	4,890.00
HRA	16,300.00	16,300.00	3,622.00
SPECIAL ALLOWANCE	18,680.00	18,680.00	200.00
SPRINT BONUS	7,000.00	7,000.00	
Total Earnings:INR.	82,730.00	82,730.00	8,712.00
Net Pay for the month ( Total Earnings - Total Deductions): <b>74,018.00</b>			
(Rupees Seventy-Four Thousand, Eighteenonly )			

This is a system generated payslip and does not require signature.

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

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

CLIENT'S SIGNATURE [1]

### A. Identity Details (please see guidelines)

FULL NAME (As appearing in supporting identification document):		SARDAR SINGH RAM AVATAR	
FATHER / SPOUSE'S NAME:		SARDAR SINGH	
GENDER <input checked="" type="radio"/> MALE <input type="radio"/> FEMALE	MARITAL STATUS <input type="radio"/> SINGLE <input checked="" type="radio"/> MARRIED	DATE OF BIRTH (dd/mm/yyyy)   1   5   0   3   1   9   9   2	
NATIONALITY <input checked="" type="radio"/> INDIAN <input type="radio"/> OTHER (Please Specify)			
STATUS <input checked="" type="radio"/> RESIDENT INDIVIDUAL <input type="radio"/> NON RESIDENT <input type="radio"/> FOREIGN NATIONAL (Passport copy mandatory for NRIs & Foreign Nationals)			
PAN (Please enclose a duly attested copy)   B   G   F   P   R   5   3   3   0   A		AADHAAR NUMBER (if any) 647448390961	
PROOF OF IDENTITY SUBMITTED FOR PAN EXEMPT CASES (Please Tick ✓) <input type="radio"/> UID (AADHAAR) <input type="radio"/> PASSPORT <input type="radio"/> VOTER ID <input type="radio"/> DRIVING LICENCE <input checked="" type="radio"/> OTHERS PAN (Please see guideline 'D')			

### B. Address Details (Please see guidelines)

ADDRESS FOR RESIDENCE/CORRESPONDENCE: 101A 21ST CROSS 2ND STAGE GAYATRI LAYOUT, BASAVANPURA MAIN ROAD KRISHNARAJAPURAM			
CITY/TOWN/VILLAGE: BANGALORE		PIN CODE   5   6   0   0   3   6	STATE: KARNATAKA COUNTRY: India
TEL (OFF):		TEL (RES):	
MOBILE:   8   7   9   2   0   9   2   0   4   7		FAX:	
EMAIL ADDRESS: rambharlia007@gmail.com			
PROOF OF ADDRESS TO BE PROVIDED BY APPLICANT. PLEASE SUBMIT <b>ANY ONE</b> OF THE FOLLOWING VALID DOCUMENTS & <b>CHOOSE</b> THE DOCUMENT ATTACHED <input type="radio"/> PASSPORT <input type="radio"/> RATION CARD <input type="radio"/> REGISTERED LEASE/SALE AGREEMENT OF RESIDENCE <input type="radio"/> DRIVING LICENCE <input type="radio"/> VOTER IDENTITY CARD <input type="radio"/> *LATEST BANK A/c STATEMENT/PASSBOOK <input type="radio"/> *LATEST TELEPHONE BILL (Only landline) <input type="radio"/> *LATEST ELECTRICITY BILL <input type="radio"/> *LATEST GAS BILL <input checked="" type="radio"/> OTHERS (Please Specify) Aadhaar *Not more than 3 months old. Validity/Expiry date of proof of address submitted (dd/mm/yyyy)			
PERMANENT ADDRESS OF RESIDENT APPLICANT IF DIFFERENT FROM ABOVE B1 OR OVERSEAS ADDRESS (MANDATORY) FOR NON RESIDENT APPLICANT: 101A 21ST CROSS 2ND STAGE GAYATRI LAYOUT, BASAVANPURA MAIN ROAD KRISHNARAJAPURAM			
CITY/TOWN/VILLAGE: BANGALORE		PIN CODE   5   6   0   0   3   6	STATE: KARNATAKA COUNTRY: India
PROOF OF ADDRESS TO BE PROVIDED BY APPLICANT. PLEASE SUBMIT <b>ANY ONE</b> OF THE FOLLOWING VALID DOCUMENTS & <b>CHOOSE</b> THE DOCUMENT ATTACHED <input type="radio"/> PASSPORT <input type="radio"/> RATION CARD <input type="radio"/> REGISTERED LEASE/SALE AGREEMENT OF RESIDENCE <input type="radio"/> DRIVING LICENCE <input type="radio"/> VOTER IDENTITY CARD <input type="radio"/> *LATEST BANK A/c STATEMENT/PASSBOOK <input type="radio"/> *LATEST TELEPHONE BILL (Only landline) <input type="radio"/> *LATEST ELECTRICITY BILL <input type="radio"/> *LATEST GAS BILL <input checked="" type="radio"/> OTHERS (Please Specify) Aadhaar *Not more than 3 months old. Validity/Expiry date of proof of address submitted (dd/mm/yyyy)			

ANY OTHER INFORMATION:

### DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I may be held liable for it.

eSigned document:

CLIENT'S SIGNATURE [2] X	SARDAR SINGH RAM AVATAR	PLACE: BANGALORE
	09.11.2018 06:58:02	DATE (DD/MM/YYYY)   0   9   1   1   2   0   1   8
Reason: Upstox Trading and Demat A/C Opening		

### FOR OFFICE USE ONLY

AMC/Intermediary name OR code	IPV Done <input checked="" type="checkbox"/> on (dd/mm/yyyy)   0   9   1   1   2   0   1   8	
<input checked="" type="checkbox"/> (Originals verified) True copies of documents received <input type="checkbox"/> (Attested) True copies of documents received Main Intermediary	Seal/Stamp of the intermediary should contain Staff Name Designation Name of the Organization Signature Date	Seal/Stamp of the intermediary should contain Staff Name Designation Name of the Organization Signature Date



आयकर विभाग

INCOME TAX DEPARTMENT

RAM AVATAR S

SARDAR SINGH

15/03/1992

Permanent Account Number

BGFPR5330A





भारत सरकार

GOVT. OF INDIA



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GOVERNMENT OF INDIA

ರಾಮ್ ಅವತಾರ್ ಎಸ್

Ram Avatar S

ಹುಟ್ಟಿದ ವರ್ಷ / Year of Birth : 1992

ಪುರುಷ / Male



6474 4839 0961



eSigned document  
SARDAR SINGH RAM AVATAR  
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ಆಧಾರ್ - ಶ್ರೀಸಾಮಾನ್ಯನ ಅಧಿಕಾರ

A handwritten signature in black ink. It starts with a large, stylized 'S' that loops around. The word 'Avatar' is written in a cursive script above the main body of the signature. The signature ends with a long, sweeping horizontal line.

eSigned document:

SARDAR SINGH RAM AVATAR

09.11.2018 06:58:02

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