



Name Of Client : _____

Client Code : _____ **Client ID :** _____

Branch : _____

Client Registration Form - INDIVIDUAL

(Equity + Demat + Commodity)

THROUGH BUSINESS ASSOCIATES

ACCOUNT OPENING KIT - INDIVIDUAL INDEX

PART - A

Sr. No.	Name of the Document	Brief Significance of the Document	Part	Page No.	
				From	To
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI / EXCHANGES / DEPOSITORY					
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and In-Person Verification details and instructions.	A	1	8
		B. Document captures the additional information about the constituent relevant to trading and demat account.	A	9	13
2	Tariff Schedule - Equity and Commodity	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	A	14	15
3	Schedule of DP Charges and Option for DIS Booklet	Charges for Depository Services / Demat charges and option for issuance of DIS booklet.	A	16	17
4	Acknowledgement letter	Acknowledgement indicating receipt of documents by client.	A	18	19
5	FATCA/CRS Declaration Form	Account opening form supplement	A	24	26
6	Consent & MITC	Consent for usage of Aadhaar Number & Most Important Terms and Conditions (MITC)	A	27	28
7	Rights and Obligations	Document detailing the rights and obligations of the account holder.	A	29	31
8	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	B	11	13
9	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	B	14	15
10	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	B	16	18
11	Rights and Obligations of DP	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories.	B	34	35
12	Intimation of Money Laundering	This document is to make the client aware of Anti Money Laundering (AML) provisions.	B	36	36
13	Risk Disclosure Document, Rights and Obligations and Do's & Don'ts (Commodities)	Document detailing risks associated with dealing in Commodity Market, Rights and Obligations and Do's & Don'ts for trading on Commodity Exchange for the education of the investor.	B	37	49
14	Investor Charter - Stock Brokers	Annexure-A.	B	50	53
15	Investor Charter - DP	Investor Charter by Depository Participants.	B	54	59
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER / DEPOSITORY					
16	Letter of Appointment	This document allows the client to give authority to another person for placing / giving / executing orders on his / her behalf.	A	19	19

Sr. No.	Name of the Document	Brief Significance of the Document	Part	Page No.	
				From	To
17	Authorization for running account / request letter	Letter of authority / request to Ventura Securities Limited	A	20	20
18	Other Voluntary Consents	Consent for Electronic Contract Note (ECN), undertaking for High Value Transactions in Commodity Market.	A	21	23
19	Rights and Obligations	Additional clauses forming part and parcel of mandatory Rights and Obligations.	B	19	33
20	DDPI	Demat Debit and Pledge Instruction (DDPI)			

Name of Stock Broker / Trading Member			
Single SEBI Regn. No.		Regn. Date	
SEBI Regn. No. NSDL			
Clearing Member - NSE Commodity Derivatives			
SEBI Regn. No.		Regn. Date	
Registered Office address			
Registered / Correspondence Office			

Phone No.			Website:
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Compliance Officer Name	CEO Name	Tel. No.	Email

For any grievance / dispute please contact us at the above address or email id - and Phone no. 91-22-67547000. In case no satisfied with the response, please contact BSE at dis@bseindia.com and phone no. 91-22-22728517, NSE at ignse@nse.co.in and phone no. 1800 266 0058 / 91-22-26598191, MCX at grievance@mcxindia.com and phone no. 91-22-66494070 / 91-22-67318888 & Option 0, NCDEX at ig@ncdex.com and phone no. 1800 26 62339 / 91-22-66406789

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM**A. IMPORTANT POINTS:**

1. Self-attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole-time directors and persons authorized to deal in securities on behalf of company/firm/others.
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 / regional 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. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
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 Banks.

C. Proof of Address : - 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 / Aadhaar Card.
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 FII / sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.

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.

F. Additional documents in case of trading in derivatives segments - illustrative list :

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

*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.

G. Copy of cancelled cheque leaf / pass book / bank statement specifying name of the constituent, MICR Code and IFSC Code of the bank should be submitted.

H. Demat master or recent holding statement issued by DP bearing name of the client.

I. For individuals :

- a. 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.
- b. 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.

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 codes 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**Application Type* ☐ New ☐ Update

(To be filled by financial institution) KYC Number (Mandatory for KYC update request)

Account Type * ☐ Normal ☐ Simplified (for low risk customer) ☐ Small☐ **1. PERSONAL DETAILS** (Please refer to instruction A at the end)

	Prefix	First Name	Middle Name	Last Name	
<input type="checkbox"/> Name (Same as ID proof)	_____	_____	_____	_____	
Maiden Name (if any *)	_____	_____	_____	_____	
Father / Spouse Name *	_____	_____	_____	_____	
Mother Name *	_____	_____	_____	_____	
Date of Birth *	_____				
Gender *	<input type="checkbox"/> M - Male	<input type="checkbox"/> F - Female	<input type="checkbox"/> T - Transgender		
Marital Status *	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others		
Citizenship *	<input type="checkbox"/> IN - Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> <input type="text"/>)			
Residential Status *	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non-Resident Indian		<div style="border: 1px solid black; padding: 5px; text-align: center;"> PHOTO </div>  <div style="border: 1px solid black; padding: 5px; text-align: center;"> Signature / Thumb Impression </div>	
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin			
Occupation Type *	<input type="checkbox"/> S - Service	<input 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"/> B - Business				<input type="checkbox"/> Housewife <input type="checkbox"/> Student
	<input type="checkbox"/> X-Not Categorised				

☐ **2 . TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA** (Please refer to 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 : - _____

Passport Expiry Date : - _____

☐ B. Voter ID Card : - _____

☐ C. PAN Card : - _____

☐ D. Driving Licence : - _____

Driving Licence Expiry Date : - _____

☐ E. UID (Aadhaar) : - _____

☐ Z. Others (any document notified by the central government) : - _____

Identification Number : - _____

☐ S. Simplified Measures Account - Document Type code : - _____

Identification Number : - _____

4 . PROOF OF ADDRESS (POA) *

☐ **4.1 CURRENT / PERMANET / OVERSEAAS ADDRESS DETAILS** (Please see instruction D at the end)

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

Address Type*

☐ Residential / Business

☐ Residential

☐ Business

☐ Registered Office

☐ Unspecified

Proof of Address *

☐ Passport

☐ Driving License

☐ UID (Aadhaar)

☐ Voter Identity Card

☐ NREGA Job Card

☐ Others _____

☐ Simplified Measures Account-Document Type code : _____

Address

Line 1* : _____

Line 2 : _____

Line 3 : _____ City / Town / Village : _____

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

☐ **4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS** (Please see instruction E at the end)

☐ Same as Current / Permanent / Overseas Address Details (In case of multiple correspondence/local addresses please fill 'Annexure A1')

Line 1* : _____

Line 2 : _____

Line 3 : _____ City / Town / Village : _____

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

☐ **4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES *** (Applicable if section 2 is ticked.)

☐ Same as Current / Permanent / Overseas Address Details ☐ Same as Correspondence / Local Address Details

Line 1* : _____

Line 2 : _____

Line 3 : _____ City / Town / Village : _____

State * _____ Zip / Post Code * _____ ISO 3166 Country Code * _____

☐ **5 . CONTACT DETAILS** (All Communications will be sent on provided Mobile No. / Email-Id) (Please refer instructions F at the end)

Tel. (Off) _____ Tel. (Res) _____ FAX _____

Mobile * _____ ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

Email Id * _____ ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

☐ **6. DETAILS OF RELATED PERSON** (In case of additional related persons, please fill 'Annexure A1') (please refer instructions G at the end)

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*) ☐☐☐☐

Related Person Type * ☐ Guardian of Minor ☐ Assignee ☐ Authorised Representative

Prefix	First Name	Middle Name	Last Name
Name *	_____	_____	_____

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

PROOF OF IDENTITY [POI] OF RELATED PERSON* (please refer instructions (H) at the end)

☐ A. Passport Number : - _____ Passport Expiry Date : - _____

☐ B. Voter ID Card : - _____

☐ C. PAN Card : - _____

☐ D. Driving Licence : - _____

Driving Licence Expiry Date : - _____

☐ E. UID (Aadhaar) : - _____

☐ Z. Others (any document notified by the central government) : - _____

Identification Number : - _____

☐ S. Simplified Measures Account - Document Type code : - _____

Identification Number : - _____

☐ 7. REMARKS (if any)

☐ 8. APPLICATION 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.

Date : - - Place : _____

Signature / Thumb Impression of Applicant

☐ 9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

☒ Certified Copies

☒ Client Interviewed by

☒ In - Person verification done by

KYC VERIFICATION CARRIED OUT BY

Date - -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

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 codes 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**Application Type* ☐ New ☐ Update

(To be filled by financial institution) KYC Number (Mandatory for KYC update request)

Account Type * ☐ Normal ☐ Simplified (for low risk customer) ☐ Small☐ **1. PERSONAL DETAILS** (Please refer to instruction A at the end)

	Prefix	First Name	Middle Name	Last Name	
<input type="checkbox"/> Name (Same as ID proof)	_____	_____	_____	_____	
Maiden Name (if any *)	_____	_____	_____	_____	
Father / Spouse Name *	_____	_____	_____	_____	
Mother Name *	_____	_____	_____	_____	
Date of Birth *	_____				
Gender *	<input type="checkbox"/> M - Male	<input type="checkbox"/> F - Female	<input type="checkbox"/> T - Transgender		
Marital Status *	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others		
Citizenship *	<input type="checkbox"/> IN - Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> <input type="text"/>)			
Residential Status *	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non-Resident Indian		<div style="border: 1px solid black; padding: 5px; text-align: center;"> PHOTO </div>	
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin			
Occupation Type *	<input type="checkbox"/> S - Service	<input 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"/> B - Business				
	<input type="checkbox"/> X-Not Categorised				<div style="border: 1px solid black; padding: 5px; text-align: center;"> Signature / Thumb Impression </div>
			<input type="checkbox"/> Housewife	<input type="checkbox"/> Student	

☐ **2 . TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA** (Please refer to 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 : - _____

Passport Expiry Date : - _____

☐ B. Voter ID Card : - _____

☐ C. PAN Card : - _____

☐ D. Driving Licence : - _____

Driving Licence Expiry Date : - _____

☐ E. UID (Aadhaar) : - _____

☐ Z. Others (any document notified by the central government) : - _____

Identification Number : - _____

☐ S. Simplified Measures Account - Document Type code : - _____

Identification Number : - _____

4 . PROOF OF ADDRESS (POA) *

☐ **4.1 CURRENT / PERMANET / OVERSEAAS ADDRESS DETAILS** (Please see instruction D at the end)

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

Address Type*

☐ Residential / Business

☐ Residential

☐ Business

☐ Registered Office

☐ Unspecified

Proof of Address *

☐ Passport

☐ Driving License

☐ UID (Aadhaar)

☐ Voter Identity Card

☐ NREGA Job Card

☐ Others _____

☐ Simplified Measures Account-Document Type code : _____

Address

Line 1* : _____

Line 2 : _____

Line 3 : _____ City / Town / Village : _____

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

☐ **4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS** (Please see instruction E at the end)

☐ Same as Current / Permanent / Overseas Address Details (In case of multiple correspondence/local addresses please fill 'Annexure A1')

Line 1* : _____

Line 2 : _____

Line 3 : _____ City / Town / Village : _____

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

☐ **4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES *** (Applicable if section 2 is ticked.)

☐ Same as Current / Permanent / Overseas Address Details

☐ Same as Correspondence / Local Address Details

Line 1* : _____

Line 2 : _____

Line 3 : _____ City / Town / Village : _____

State * _____ Zip / Post Code * _____ ISO 3166 Country Code * _____

☐ **5 . CONTACT DETAILS** (All Communications will be sent on provided Mobile No. / Email-Id) (Please refer instructions F at the end)

Tel. (Off) _____ Tel. (Res) _____ FAX _____

Mobile * _____ ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

Email Id * _____ ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

☐ **6. DETAILS OF RELATED PERSON** (In case of additional related persons, please fill 'Annexure A1') (please refer instructions G at the end)

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*) ☐☐☐☐

Related Person Type * ☐ Guardian of Minor ☐ Assignee ☐ Authorised Representative

Prefix	First Name	Middle Name	Last Name
Name *	_____	_____	_____

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

PROOF OF IDENTITY [POI] OF RELATED PERSON* (please refer instructions (H) at the end)

☐ A. Passport Number : - _____ Passport Expiry Date : - _____

☐ B. Voter ID Card : - _____

☐ C. PAN Card : - _____

☐ D. Driving Licence : - _____

Driving Licence Expiry Date : - _____

☐ E. UID (Aadhaar) : - _____

☐ Z. Others (any document notified by the central government) : - _____

Identification Number : - _____

☐ S. Simplified Measures Account - Document Type code : - _____

Identification Number : - _____

☐ 7. REMARKS (if any)

☐ 8. APPLICATION 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.

Date : - - Place : _____

Signature / Thumb Impression of Applicant

☐ 9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

☒ Certified Copies

☒ Client Interviewed by

☒ In - Person verification done by

KYC VERIFICATION CARRIED OUT BY

Date - -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

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 codes 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**Application Type* ☐ New ☐ Update

(To be filled by financial institution) KYC Number (Mandatory for KYC update request)

Account Type * ☐ Normal ☐ Simplified (for low risk customer) ☐ Small☐ **1. PERSONAL DETAILS** (Please refer to instruction A at the end)

	Prefix	First Name	Middle Name	Last Name	
<input type="checkbox"/> Name (Same as ID proof)	_____	_____	_____	_____	
Maiden Name (if any *)	_____	_____	_____	_____	
Father / Spouse Name *	_____	_____	_____	_____	
Mother Name *	_____	_____	_____	_____	
Date of Birth *	_____				
Gender *	<input type="checkbox"/> M - Male	<input type="checkbox"/> F - Female	<input type="checkbox"/> T - Transgender		
Marital Status *	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others		
Citizenship *	<input type="checkbox"/> IN - Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> <input type="text"/>)			
Residential Status *	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non-Resident Indian		<div style="border: 1px solid black; padding: 5px; text-align: center;"> PHOTO </div>  <div style="border: 1px solid black; padding: 5px; text-align: center; margin-top: 10px;"> Signature / Thumb Impression </div>	
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin			
Occupation Type *	<input type="checkbox"/> S - Service	<input 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"/> B - Business				<input type="checkbox"/> Housewife <input type="checkbox"/> Student
	<input type="checkbox"/> X-Not Categorised				

☐ **2 . TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA** (Please refer to 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 : - _____

Passport Expiry Date : - _____

☐ B. Voter ID Card : - _____

☐ C. PAN Card : - _____

☐ D. Driving Licence : - _____

Driving Licence Expiry Date : - _____

☐ E. UID (Aadhaar) : - _____

☐ Z. Others (any document notified by the central government) : - _____

Identification Number : - _____

☐ S. Simplified Measures Account - Document Type code : - _____

Identification Number : - _____

4 . PROOF OF ADDRESS (POA) *

☐ **4.1 CURRENT / PERMANET / OVERSEAAS ADDRESS DETAILS** (Please see instruction D at the end)

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

Address Type*

☐ Residential / Business

☐ Residential

☐ Business

☐ Registered Office

☐ Unspecified

Proof of Address *

☐ Passport

☐ Driving License

☐ UID (Aadhaar)

☐ Voter Identity Card

☐ NREGA Job Card

☐ Others _____

☐ Simplified Measures Account-Document Type code : _____

Address

Line 1* : _____

Line 2 : _____

Line 3 : _____ City / Town / Village : _____

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

☐ **4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS** (Please see instruction E at the end)

☐ Same as Current / Permanent / Overseas Address Details (In case of multiple correspondence/local addresses please fill 'Annexure A1')

Line 1* : _____

Line 2 : _____

Line 3 : _____ City / Town / Village : _____

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

☐ **4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES *** (Applicable if section 2 is ticked.)

☐ Same as Current / Permanent / Overseas Address Details ☐ Same as Correspondence / Local Address Details

Line 1* : _____

Line 2 : _____

Line 3 : _____ City / Town / Village : _____

State * _____ Zip / Post Code * _____ ISO 3166 Country Code * _____

☐ **5 . CONTACT DETAILS** (All Communications will be sent on provided Mobile No. / Email-Id) (Please refer instructions F at the end)

Tel. (Off) _____ Tel. (Res) _____ FAX _____

Mobile * _____ ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

Email Id * _____ ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

☐ **6. DETAILS OF RELATED PERSON** (In case of additional related persons, please fill 'Annexure A1') (please refer instructions G at the end)

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*) ☐☐☐☐

Related Person Type * ☐ Guardian of Minor ☐ Assignee ☐ Authorised Representative

Prefix	First Name	Middle Name	Last Name
Name *	_____	_____	_____

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

PROOF OF IDENTITY [POI] OF RELATED PERSON* (please refer instructions (H) at the end)

☐ A. Passport Number : - _____ Passport Expiry Date : - _____

☐ B. Voter ID Card : - _____

☐ C. PAN Card : - _____

☐ D. Driving Licence : - _____

Driving Licence Expiry Date : - _____

☐ E. UID (Aadhaar) : - _____

☐ Z. Others (any document notified by the central government) : - _____

Identification Number : - _____

☐ S. Simplified Measures Account - Document Type code : - _____

Identification Number : - _____

☐ 7. REMARKS (if any)

☐ 8. APPLICATION 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.

Date : - - Place : _____

Signature / Thumb Impression of Applicant

☐ 9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

☐ Certified Copies

☐ Client Interviewed by

☐ In - Person verification done by

KYC VERIFICATION CARRIED OUT BY

Date - -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

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 **mother's/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.

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.

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 address 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 [PoI] of Related Person’ section

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

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

State/U.T.	Code	State/U.T.	Code	State/U.T.	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KI	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LO	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

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 J	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	GR	Marshall Islands	MH	Slovakia	Sk
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SL
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	Monteserrat	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	Gautemala	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 ! Cote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion !Reunion	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 !Curacao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy !Saint Barthelemy	BL	Zambia	ZM
Czech Republic	CZ	Lativa	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		

PART II - TRADING ACCOUNT RELATED DETAILS

A. OTHER DETAILS

Gross Annual Income Details (please specify): Income Range per annum: (Rs. in lacs)

<input type="checkbox"/> Below 1	<input type="checkbox"/> 1 to 5	<input type="checkbox"/> 5 to 10	<input type="checkbox"/> 10 to 25	<input type="checkbox"/> Above 25
----------------------------------	---------------------------------	----------------------------------	-----------------------------------	-----------------------------------

OR

Net-worth as on date	Rs. <small>(Net worth should not be older than 1 year)</small>
Occupation (please tick any one and give brief details):	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Student
	<input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others
Please tick, if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)
	<input type="checkbox"/> Not a Politically Exposed Person (PEP) <input type="checkbox"/> Not Related to a Politically Exposed Person (PEP)
Any other information :	

B. BANK ACCOUNT(S) DETAILS Please provide cancelled cheque leaf for MICR & IFSC Code

Gross Annual Income Details (please specify): Income Range per annum: (Rs. in lacs)

Bank Name		
Branch Address		
City/Town/Pincode		
Bank Account No.		
Account Type	Savings/Current/Others-in case of NRE/NRO	Savings/Current/Others-in case of NRE/NRO
MICR No.		
IFSC Code		

C. DEPOSITORY ACCOUNT(S) DETAILS, IF AVAILABLE**Gross Annual Income Details (please specify): Income Range per annum: (Rs. in lacs)**

Depository Participant Name		
Depository Name	NSDL / CDSL	NSDL / CDSL
Beneficiary Name		
DP ID		
Beneficiary ID (BO ID)		

D. TRADING PREFERENCE

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE & BSE					MCX, NCDEX, BSE & NSE
All Segments	Cash / Mutual Fund	F&O	Currency	Debt	Commodity Derivatives	

If you do not wish to trade in any of segments / Mutual Fund, please mention here.
_____**E. 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:

Please provide your GST No_____
Signature of the Applicant**F. INVESTMENT / TRADING EXPERIENCE**

<input type="checkbox"/> No Prior Experience	_____ Years in Commodities	_____ Years in other investment related fields
--	----------------------------	--

G. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS**If client is dealing through the sub-broker/authorised person and other stock brokers, provide the following details:**

Sub-broker's Name:			
Registered office address:		BSE SEBI Regn. No.:	
		NSE SEBI Regn. No.:	
		Tel.:	
		Fax:	
		Website :	

Whether dealing with any other stock broker/sub-broker (in case dealing with multiple stock brokers/sub-brokers, provide details)

Name of stock broker:		Name of Sub-Broker/AP, if any:	
Client Code:		Exchange:	
Details of disputes/dues pending from/to such stock broker/sub- broker:			

H. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):	<input type="checkbox"/> Electronic Contract Note	
	<input type="checkbox"/> Physical	
Specify your Email id, if applicable:		
Primary email Id :		
Secondary email Id :		
Whether you wish to receive Rights & Obligations of stock broker, sub-broker and client as prescribed by SEBI and Stock Exchanges (including additional rights & obligations in case of internet/ wireless technology based trading); Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and depositories; Uniform Risk Disclosure Documents (for all segments/ exchanges); and Guidance Note detailing Do's and Don'ts for trading on Stock Exchanges (please specify);	<input type="checkbox"/> Physical	
	<input type="checkbox"/> Electronic	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):	<input type="checkbox"/> Yes	<input type="checkbox"/> No
No. of years of Investment / Trading Experience:		
Any other information:		

I. INTRODUCER DETAILS (optional)				
Name of the Introducer				
Status of the Introducer:	<input type="checkbox"/> Sub-broker	<input type="checkbox"/> Remisier	<input type="checkbox"/> Authorized Person	<input type="checkbox"/> Existing Client
	<input type="checkbox"/> Others, please specify _____			
Address and Tel. No. of the Introducer				
Introducer's Signature				

DECLARATION

1. 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.
2. I confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet and all voluntary documents.
3. I further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and Guidance Note/Do's & Don'ts. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website: www.venturasecurities.com.

Place: _____

Date: _____

Signature of the Applicant

FOR OFFICE USE ONLY				
I wish to open	<input type="checkbox"/> Equity & Commodity Trading & DP	<input type="checkbox"/> Only Equity Trading	<input type="checkbox"/> Only DP	<input type="checkbox"/> Only Commodity Trading

Branch Code	
Scheme Code	
Trading Code	

FORM-9
DP ID - IN303116

FU

PART II - DEMAT ACCOUNT OPENING FORM (FOR INDIVIDUALS)

Date :	Client Id (To be filled by Participant)								
--------	---	--	--	--	--	--	--	--	--

I / We request you to open a depository account in my/our name as per the following details:
(Please fill all the details in **CAPITAL LETTERS** only)

Details of Account holder (s):				
	NAME	PAN	SMS Alert Facility	
			Yes	No
Sole / First Holder			<input type="checkbox"/>	<input type="checkbox"/>
Occupation (please tick any one and give brief details):	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others			
Second Holder			<input type="checkbox"/>	<input type="checkbox"/>
Occupation (please tick any one and give brief details):	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others			
Third Holder			<input type="checkbox"/>	<input type="checkbox"/>
Occupation (please tick any one and give brief details):	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others			

or Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the Association of persons (AOP), Partnership Firm, Unregistered Trust etc., should be mentioned below:

Name		PAN	
------	--	-----	--

Type of Account	
<input type="checkbox"/> Ordinary Resident <input type="checkbox"/> NRI-Repatriable <input type="checkbox"/> Margin <input type="checkbox"/> Foreign National <input type="checkbox"/> Others (please specify) _____	
<input type="checkbox"/> NRI-Non-Repatriable <input type="checkbox"/> Promoter <input type="checkbox"/> Qualified Foreign Investor _____	

Gross Annual Income Details				
Income Range per annum (please tick any one) (Rs. in lacs)				
<input type="checkbox"/> Below 1	<input type="checkbox"/> 1 to 5	<input type="checkbox"/> 5 to 10	<input type="checkbox"/> 10 to 25	<input type="checkbox"/> Above 25

Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)

In case of NRIs / Foreign Nationals

RBI Approval Reference No.

RBI Approval Date

D	D	M	M	Y	Y	Y	Y

Bank Account Details

Bank Name

Branch Address

City/Town

Pincode

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

State

Country

Bank Account No.

Account Type

☐ Savings ☐ Current ☐ Others (*Please specify*)

MICR No.

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

IFSC Code

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

Please provide cancelled cheque leaf for MICR & IFSC Code

Signature of the 1st Holder

Signature of the 2nd Holder

Signature of the 3rd Holder

Standing Instructions													
I/We authorize you to receive credits automatically into my/our account	<input type="checkbox"/> Yes	<input type="checkbox"/> No											
Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No											
Account to be operated through Demat Debit and Pledge Instruction (DDPI)	<input type="checkbox"/> Yes	<input type="checkbox"/> No											
SMS Alert facility : [Mandatory if you are giving Power of Attorney (PoA/DDPI). Ensure that the mobile number is provided in the KYC Application Form]													
Mode of receiving Statement of Account, Rights & Obligations Documents (Tick any one)	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form (Read Note 4 and ensure that email ID is provided in KYC Application Form)												
For Joint accounts, communication to be sent to	<input type="checkbox"/> First holder <input type="checkbox"/> All joint account holders												
Mode of Operations for Joint Accounts													
<input type="checkbox"/> Jointly	<input type="checkbox"/> Anyone of the holder or survivor(s)												
If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and/or securities and/or specific number of securities will be permitted.													
Guardian Details (where sole holder is a minor)													
(For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian))													
Guardian Name													
Relationship of Guardian with minor													
PAN	<table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>												

DECLARATION

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of the copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant."

	Name(s) of holder(s)	Signature(s) of holder
Sole / First Holder / Guardian (in case sole holder is minor) (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

NOMINATION FOR TRADING AND DEMAT ACCOUNT

NOMINATION FORM - Annexure - A

/We wish to make a nomination. [As per details given below]
Nomination Details
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

Nomination can be made up to three nominees in the account.	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
Mandatory Details			
1. Name of the nominee(s) (Mr./Ms.)			
2. Share of each Nominee Equally [If not equally, please specify percentage]	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.			
3. Relationship With the Applicant (If Any)			
4. Date of Birth {in case of minor nominee(s)}			
5. Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			

Non-mandatory Details			
6. Address of Nominee(s)/Guardian in case of Minor			
City / Place:			
State & Country:			
Pincode :	<input type="text"/>	<input type="text"/>	<input type="text"/>
7. Mobile / Telephone No. of nominee(s) / Guardian in case of Minor			
8. Email ID of nominee(s) / Guardian in case of Minor			
9. Nominee Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
10. Relationship of Guardian with nominee			
	Name(s) of holder(s)	Signature(s) of holder*	
Sole / First Holder (Mr./Ms.)		?	
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			

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

OR

Annexure - B	
Declaration Form for opting out of Nomination	
<input type="checkbox"/> I/We wish to opt out of a nomination. [Declaration Form opting out of nomination as prescribed by SEBI]	
Date	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
UCC / TRADING CODE	
DP ID	
Client ID (only for Demat account)	
Sole/First Holder Name	
Second Holder Name	
Third Holder Name	
/ We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio / trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our MF Folio / trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / trading / demat account	

Name and Signature of Holder(s)*

1. _____ 2. _____ 3. _____
4. _____ 5. _____ 6. _____

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

BROKERAGE / CHARGES (TARIFF SCHEDULE) FOR TRADING IN NSE/BSE

BROKERAGE

CASH AND FUTURES AND OPTIONS AND CURRENCY DERIVATIVES SEGMENTS

Type	Percentage	Minimum (paisa per share)	Legs
Trading in Cash (intra day)			Single / Both
Delivery in Cash			All transaction
Futures (intra day)			Single / Both
Futures (other than intra day)			All transaction
	% / Rs. per lot	Minimum (Rs. Per lot / Paisa Per Share)	
Options (intra day)	____% / Rs. _____		Single / Both
Options (except intra day)	____% / Rs. _____		All transaction
Currency Derivative	Rs. _____ per lot		

MUTUAL FUND SEGMENT

Brokerage on redemption (excluding Liquid Fund)	Rs. 50/- per transaction
---	--------------------------

Currency Derivative Rs. 20/- per lot on single leg of transaction.

BROKERAGE FOR ACCOUNT SETTLEMENT OTHER THAN QUARTERLY BASIS :-

Brokerage will be charged as 2.5% per share on each and every leg of transactions on securities listed in cash segment and on index, stock and currency futures. On options contract listed in futures and options and currency derivative segments brokerage will be charge as 2.5% or Rs. 100 per lot whichever is higher

OTHER LEVIES AS PREVALENT FROM TIME TO TIME :-

Other Charges includes:- 1. Goods and Services Tax 2. Stamp Duty 3. Exchange transaction charges 4. SEBI turnover fees 5. Clearing Member charges 6. Securities Transaction Tax (STT) 7. Expiry charges on derivative contracts 8. Delayed payment charges not exceeding 2.5% per month. 9. Cheque return charges in actual as charged by the banks. 10. Demat charges towards pay-in / pay out of securities / margin from VSL's beneficiary account. 11. Amount paid / payable by VSL on account of any penalties / charges levied / leviable on VSL due to default / breach committed by client. Any other statutory levies not specified in this tariff sheet. 12. Document and service charges for trading account opening Rs.150/- 13. Charges for providing research report. 14. Charges for any other services provided / cost incurred by VSL. 15. Any other charges toward customised / specialised services.

Note : The brokerage in cash and futures segment (except options) is calculated on a per share basis and rounded of to nearest paisa. Rate of the other levies may vary from time to time. You may contact us to know the prevalent rates of the above levies. Any change in the commercial shall be communicated on your email id registered with us and the same shall also be available in your client login on our website. Inspection related penalty can not be passed on to clients. The above terms & conditions are subject to change at the sole discretion of Ventura Securities Ltd. (VSL)

Name of the Applicant _____

Signature of the Applicant

Date _____

BROKERAGE / CHARGES (TARIFF SCHEDULE) FOR TRADING**BROKERAGE****CASH AND FUTURES AND OPTIONS AND CURRENCY DERIVATIVES SEGMENTS**

Type	Percentage	Legs
Daily Square Up (intraday)		Single / Both
Settlement Square Up		Single / Both
Delivery		
Commodity Options - Rs. 100/- per lot.		

OTHER LEVIES AS PREVALENT FROM TIME TO TIME :-

1. Goods and Service Tax.
2. Stamp Duty
3. Exchange transaction charges.
4. Delayed payment charges not exceeding 2.5% per month or part of the month.
5. Cheque return charges in actual as charged by the bank.
6. Document and service charges for trading account opening Rs.150/-
7. Amount paid / payable by VSL on account of any penalties / charges levied / leviable on VSL due to default / breach committed by client. Any other statutory levies not specified in this tariff sheet.
8. Charges for providing research report.
9. Charges for any other services provided / cost incurred by VSL.
10. Any other charges toward customised / specialised services.

The above terms & conditions are subject to change at the sole discretion of Ventura Securities Ltd. (VSL).

Name of the Applicant _____

Signature of the Applicant

Date _____

Depository Participant ID IN303116			
Charges for Depository Services			
The Investor will have to choose one of the schemes to pay the charges to VSL for the services offered.			
PARTICULARS Please Select any one scheme	SCHEME - A <input type="checkbox"/>	SCHEME - B <input type="checkbox"/>	SCHEME - C <input type="checkbox"/>
	With POA	Without POA	With POA
A) Documentation Charges	Nil	Nil	Nil
B) Refundable Deposit (Non Interest bearing)	Nil	Nil	Rs. 3,000/-
C) Account Maintenance	Nil	Nil	Nil
Payable at the time of opening the Account	Nil	Nil	Rs. 3,000/-
Custody Chargest	Nil	Nil	Nil
Dematerialisation Charges (Per Request)	Rs. 200/-	Rs. 200/-	Rs. 200/-
Rematerialisation Charges (Per Request)	Rs. 50/-	Rs. 50/-	Rs. 50/-
Transaction Charges			
With VSL (Buy)	Nil	Nil	Nil
Within VSL (Sell) (Market & Off Market)	Rs. 20/-	Rs. 50/-	Rs. 12/-
Outside VSL (Buy)	Nil	Nil	Nil
Outside VSL (Sell) (Market & Off Market)	Rs.50/- or 0.05% of value whichever is higher)	Rs.50/- or 0.05% of value whichever is higher	Rs.50/- or 0.05% of value whichever is higher
Pledge creation	Rs. 50/-	Rs. 50/-	Rs. 50/-
Pledge closure	Nil	Nil	Nil
Pledge invocation	Nil	Nil	Nil
.			

Notes :-

- 1) Cheque returned charges will be levied in actual as charged by the banks.
- 2) Interest @ 13% p.a. shall be charged, if the bill is not paid by due date.
- 3) In case of Corporate Demat Account: AMC of Rs. 500/- p.a. will be levied by NSDL in addition to VSL charges.
- 4) The above rates are based on the existing NSDL charges and may change from time to time.
- 5) The scheme once selected can be changed only at the end of financial year.
- 6) Refundable deposit will be repaid only on closure of account. No adjustment will be made in the interim.
- 7) Any extra statement would be charged @ Rs. 25/- per statement for one page and thereafter, it would be charged @ Rs. 2/- per page.
- 8) Actual charges levied by NSDL for CAS statement will be charged seperately.
- 9) Statutory levies as applicable would be charged extra.

Declaration for Basic Service Demat Account (BSDA)

Please select any one option given below,

1. ☐ I/We wish to open Regular Demat Account.
2. ☐ I/We wish to open BSDA Account.

3. ☐ I/We wish to Opt out of BSDA.

Signature of the 1st Holder

Signature of the 2nd Holder

Signature of the 3rd Holder



OPTION FOR ISSUANCE OF DIS BOOKLET ALONGWITH ACCOUNT OPENING

(to be filled by persons seeking to open a depository account who have given Power of Attorney / DDPI to operate the depository account to a stock broker/Participant/Portfolio Manager and do not intend to open a Basic Services Demat Account)

Ventura Securities Limited,

DP ID

-Think Techno Campus,
"B" Wing, 8th Floor,
Off. Pokhran Road No. 2,
Close to Eastern Express Highway, Thane (West) - 400607,
Maharashtra, India.
Tel.: 6754 7000 / 6622 7100

Name(s) of account holder(s)	Sole/ First holder
	Second holder
	Third holder

Option for Issue of DIS booklet (please tick any one)

Option 1 ☐

I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.

Option 2 ☐

/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/ us within reasonable time on my/ our request at any later date.

	Name(s) of holder(s)	Signature(s) of holder
Sole / First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

Place _____

Date _____

ACKNOWLEDGEMENT

Date :- _____

Ventura Securities Limited,
I-Think Techno Campus,
“B” Wing, 8th Floor, Off. Pokhran Road No. 2,
Close to Eastern Express Highway,
Thane (West) - 400607, Maharashtra, India.

Dear Sir,

This has reference to necessary Know Your Client Form containing basic information, additional information and other documents executed by me. I hereby acknowledge receipt of following documents from you:-

1. Documents containing mandatory Rights & Obligations of stock broker, authorised person and client for trading on BSE/NSE/MCX/NCDEX exchanges (including additional rights & obligations in case of internet / wireless technology based trading).
2. Risk Disclosure Documents.
 - a. For BSE & NSE
 - b. For MCX & NCDEX
3. Document detailing do's and don'ts for trading on exchange, for the education of the investors.
 - a. For BSE & NSE
 - b. For MCX & NCDEX
4. Policy and Procedures document.
5. Additional Voluntary clauses forming part and parcel of mandatory rights and obligations.
6. Rights & Obligations of beneficial owner and depository participant

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

Thanking you,

Signature of the Applicant : _____

Name of the Applicant : _____

DP ID

ACKNOWLEDGEMENT**Regd. and correspondence Office: Email ID:**

Received the application from Mr/Ms _____

as the sole/first holder alongwith _____ and _____

as the second and third holders respectively for opening of a depository account. Please quote the DP Id & Client Id allotted to you in all your future correspondence.

Date: _____

Authorised Signatory

VOLUNTARY

Date: _____

Ventura Securities Ltd.

I-Think Techno Campus,
"B" Wing, 8th Floor, Off. Pokhran Road No. 2,
Close to Eastern Express Highway,
Thane (West) - 400607, Maharashtra, India.

Dear Sir/Madam,

Sub : Authority to place instructions**Ref : My Client Code No.** _____

I have opened the client/constituent account with Ventura Securities Limited (herein referred to as "VSL") for trading/dealing in securities on BSE Limited (BSE) and/or National Stock Exchange of India Limited and/or Multi Commodity Exchange of India Ltd (MCX) and/or National Commodity & Derivatives Exchange Limited (NCDEX) (hereinafter referred to as "the Exchanges").

In this regard, please note that I have appointed Mr / Ms _____
having PAN: _____ and

"Authorised Person" on my behalf for placing/giving/executing orders in my above client account with you. The buying/selling/execution of order or other instruction given on my behalf by the above said Authorised Person shall be binding on me. He/She can communicate with VSL through telephone, email, fax, mobile, Short Messaging Service (SMS), messenger chat or any other mode/means of communication.

Please note that contract note, margin statement etc.. shall be sent to me only and fund/ securities will be received paid to/through my designated account with you only.

This Authorization shall remain in force till cancellation of the same by me or by "Authorised Person" whichever is earlier & intimation of the same in writing is submitted to VSL at its above mentioned office address. I understand that the VSL may decline to accept instruction of the above authorised person without assigning any reason.

Thanking you_____
Signature of the Applicant

I hereby confirm that I have accepted the said authority given by the above mentioned client. I state that I shall not carry out unregistered PMS activity and I shall comply with all the rules governing the Securities market.

Name _____**Signature** _____**Enclosure: Self certified copy of PAN of Authorised Person.**

Date: _____

Ventura Securities Limited

I-Think Techno Campus,
"B" Wing, 8th Floor, Off. Pokhran Road No. 2,
Close to Eastern Express Highway,
Thane (West) - 400607, Maharashtra, India.

Dear Sir,

Sub.: Letter of Authority / Request to Ventura Securities Limited

I, the undersigned, have opened the client / constituent account with Ventura Securities Limited (herein referred to as "VENTURA") for trading / dealing in securities on the Bombay Stock Exchange Limited (BSE) and / or National Stock Exchange of India Limited (NSE) and/or Multi Commodity Exchange of India Limited (MCX) and/or National Commodity and Derivatives Exchange Limited (NCDEX). In respect of my dealing / account with you, I hereby request / instruct and authorize VENTURA to do the followings:-

1. To accept verbal instructions for placement / modification / cancellation of orders.
2. To maintain a running account instead of settlement of my trade related dues and/or delivery of securities or commodities on a bill-to-bill / settlement-to-settlement basis.
3. To retain the securities received by VENTURA on my behalf from Exchange(s) on pay-out or otherwise against my debit balance / trade related dues/ exposure/ trading limits/ open interest/ various margins or as per any regulations of BSE and/or NSE and/or MCX and/or NCDEX. Such retaining / holding of securities shall be construed as due compliance of the requirement of exchange(s) and SEBI. Further, VENTURA has the sole discretion and authority (i) to use / Transfer the above securities to the clearing corporation/ clearing member/ exchange(s) for the purpose of early pay-in / margin, Additional Base Capital; (ii) to dispose/sell the above securities to meet any monetary / other trade related dues/obligation(s) not fulfilled by me towards VENTURA/ the exchange(s).
4. To hold payout of funds / credit in my account and pay to me only to the extent demanded by me. To use/ adjust the credit balance available from time to time in my account(s) for my exposure/ trading limits/ margin requirements / other dues.
5. However, I prefer to settle the account on following basis (Please tick in Appropriate Box):

Quarterly		Monthly	
-----------	--	---------	--

6. To debit/credit/ transfer of amounts, either on same Exchange and / or between various segments of the same exchange and / or between the exchanges across various segment and / or depository / demat charges to meet my debit balance or various dues payable to VENTURA / Exchanges in relation to my trades.
7. To transfer credit / debit balance from mark to mark and/or premium account to margin account and vice versa.
8. All the instructions / requests placed by me on telephone while being using login and Password shall be always binding upon me.
9. I hereby agree to receive telephone calls / SMS on my mobile number / email ID as registered by me with VENTURA, the messages / communications relating to transactions, PIN, passwords, stock ideas, real time news pertaining to market, updates on stock prices and any other messages (including products and services) as sent by VENTURA from time to time.

Further, I reserve my right to withdraw the above instructions at any time. In such event, I undertake to inform you in writing and such communication shall be addressed to the above address.

Signature of the Applicant

Name of the Applicant: _____

ANNEXURE-I

Date: _____

To,
Ventura Securities Ltd.
I-Think Techno Campus,
“B” Wing, 8th Floor, Off. Pokhran Road No. 2,
Close to Eastern Express Highway,
Thane (West) - 400607, Maharashtra, India.

Dear Sir,

**Subject: My / Our request for trading in commodity forward contracts / commodity derivatives
on NCDEX and MCX as your client**

1. I / We, the undersigned, have taken cognizance of circular no. NCDEX / TRADING-114 / 2006 / 247 dated September 28, 2006 issued by the National Commodity & Derivatives Exchange Limited (NCDEX) and circular no. MCX / 300 / 2006 dated August 1, 2006 and MCX / 338 / 2006 dated August 21, 2006 issued by the Multi Commodity Exchange of India Limited (MCX) on the guidelines for calculation of net open positions permitted in any commodity and I / we hereby undertake to comply with the same.
2. I / We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by NCDEX or MCX or SEBI and such position limits will be calculated in accordance with the contents of above stated circulars of NCDEX and MCX as modified from time to time.
3. I / We undertake
 - i) To inform you and keep you informed if any of our partners / directors / karta / trustee or any of the partnership firms / companies / HUFs / Trusts in which any of above such person is a partner / director / karta / trustee, takes or holds any position in any commodity forward contract / commodity derivative on NCDEX or MCX through you or through any other member(s) of NCDEX or MCX.
 - ii) To enable you to restrict our position limit as prescribed by the above referred circular of NCDEX and MCX as modified from time to time.
4. I / We confirm that you have agreed to enter orders in commodity forward contracts / commodity derivatives for me / us as your clients on NCDEX or MCX only on the basis of our above assurances and undertaking.

Yours faithfully**Signature of the Applicant:** _____**Name of the Applicant:** _____

VOLUNTARY



ANNEXURE-II

Date : _____

To,
Ventura Securities Ltd.
I-Think Techno Campus,
“B” Wing, 8th Floor, Off. Pokhran Road No. 2,
Close to Eastern Express Highway,
Thane (West) - 400607, Maharashtra, India.

Dear Sir/Madam,

Sub: Undertaking for High Value Transactions in MCX / NCDEX

Please note that I hereby wish to inform you that I intend to transact for Rs. 5 lacs or more in a day in MCX / NCDEX Commodities, based on various reasons for which I am liable.

I hereby inform you that the purpose and intended nature of business relationship is as mentioned below:

Purpose: _____

Intended nature of business relationship: _____

This undertaking is as per the requirement of the Exchange and SEBI relating to Anti Money Laundering (AML) and Know Your Client (KYC) norms.

Thanking you.

Yours faithfully,

Signature of the Applicant : _____

Name of the Applicant : _____

ELECTRONIC CONTRACT NOTE (ECN) - DECLARATION

To,
Ventura Securities Ltd.,
1-ThinkTechno Campus, "B" Wing, 8th Floor,
Pokhran Road No. 2, Off. Eastern Express Highway,
Thane (West) - 400 607. Maharashtra, India.

Dear Sir,

I, _____, a client with

member M/s. of **BSE/NSE/MCX/NCDEX** Exchange undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form. I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
- My email id is * _____ and/or secondary email ID _____
- I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above email id.
- This authorization has been signed by the me only and not by any authorised person on my behalf or holder of the Power of Attorney.
- Please note that any change in my email-id shall be communicated by me through a physical letter to Ventura Securities Ltd. In respect of internet clients, the request for change of email id shall be made through the secured access by way of client specific user id and password provided to me.

Signature of the Applicant : _____

Date : _____

Place : _____

SELF-CERTIFICATION FOR INDIVIDUAL
Client Code:
FATCA/CRS DECLARATION FORM
Part I- Please fill in the country for each of the following:

1.	Country Of:		
	a)	Birth	
	b)	Citizenship	
	b)	Residence for Tax Purposes	
2.	US Person (Yes / No)		

Part II- Please note:

	a.	If in all fields above, the country mentioned by you is India and if you do not have US person status, please proceed to part III for signature.	
	b.	If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent as issued in the specific country in the table below:	
i)	TIN	Country of Issue	
ii)	TIN	Country of Issue	
iii)	TIN	Country of Issue	

a. In case any of the parameters in **Part I** indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in **Part IV**.

b. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate.

c. Please also fill **Part IV Self-Certification**.

Part III- Customer Declaration (Applicable for all customers)

(i) Under penalty of perjury, I/we certify that:

- The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. **(This clause is applicable only if the account holder is identified as a US person)**
- The applicant is an applicant taxable as a tax resident under the laws of country outside India. **(This clause is applicable only if the account holder is a tax resident outside of India)**

(ii) I/We understand that the Ventura is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The Ventura is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/We shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

(iv) I/We agree that as may be required by domestic regulators/tax authorities the Ventura may be required to report, reportable details to CDBT or close or suspend my account.

(v) I/We certify that I/We provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature :	
Name :	Date (DD/MM/YYYY) :
Part IV- Self Certification:	
To be filled only if- (a) Name of the country in Part I is other than India TIN or functional equivalent is not available, or (b) US person is mentioned as YES in Part I, and TIN is not available	
I confirm that I am neither a US person nor a resident for tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.	
Document Proof submitted (Please tick document being submitted) <input type="checkbox"/> Passport <input type="checkbox"/> Election Id <input type="checkbox"/> PAN Card <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhar Card <input type="checkbox"/> NREGA <input type="checkbox"/> Job Card <input type="checkbox"/> Govt. Issued Id Card	

SELF-CERTIFICATION FOR INDIVIDUAL
Client Code:
FATCA/CRS DECLARATION FORM
Part I- Please fill in the country for each of the following:

1.	Country Of:		
	a)	Birth	
	b)	Citizenship	
	b)	Residence for Tax Purposes	
2.	US Person (Yes / No)		

Part II- Please note:

	a.	If in all fields above, the country mentioned by you is India and if you do not have US person status, please proceed to part III for signature.	
	b.	If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent as issued in the specific country in the table below:	
i)	TIN	Country of Issue	
ii)	TIN	Country of Issue	
iii)	TIN	Country of Issue	

a. In case any of the parameters in **Part I** indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in **Part IV**.

b. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate.

c. Please also fill **Part IV Self-Certification**.

Part III- Customer Declaration (Applicable for all customers)

(i) Under penalty of perjury, I/we certify that:

- The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. **(This clause is applicable only if the account holder is identified as a US person)**
- The applicant is an applicant taxable as a tax resident under the laws of country outside India. **(This clause is applicable only if the account holder is a tax resident outside of India)**

(ii) I/We understand that the Ventura is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The Ventura is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/We shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

(iv) I/We agree that as may be required by domestic regulators/tax authorities the Ventura may be required to report, reportable details to CDBT or close or suspend my account.

(v) I/We certify that I/We provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature :	
Name :	Date (DD/MM/YYYY) :
Part IV- Self Certification:	
To be filled only if- (a) Name of the country in Part I is other than India TIN or functional equivalent is not available, or (b) US person is mentioned as YES in Part I, and TIN is not available	
I confirm that I am neither a US person nor a resident for tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.	
Document Proof submitted (Please tick document being submitted) <input type="checkbox"/> Passport <input type="checkbox"/> Election Id <input type="checkbox"/> PAN Card <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhar Card <input type="checkbox"/> NREGA <input type="checkbox"/> Job Card <input type="checkbox"/> Govt. Issued Id Card	

SELF-CERTIFICATION FOR INDIVIDUAL
Client Code:
FATCA/CRS DECLARATION FORM

Part I- Please fill in the country for each of the following:			
1.	Country Of:		
	a)	Birth	
	b)	Citizenship	
	b)	Residence for Tax Purposes	
2.	US Person (Yes / No)		
Part II- Please note:			
	a.	If in all fields above, the country mentioned by you is India and if you do not have US person status, please proceed to part III for signature.	
	b.	If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent as issued in the specific country in the table below:	
i)	TIN	Country of Issue	
ii)	TIN	Country of Issue	
iii)	TIN	Country of Issue	

a. In case any of the parameters in **Part I** indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in **Part IV**.

b. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate.

c. Please also fill **Part IV Self-Certification**.

Part III- Customer Declaration (Applicable for all customers)

(i) Under penalty of perjury, I/we certify that:

- The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. **(This clause is applicable only if the account holder is identified as a US person)**
- The applicant is an applicant taxable as a tax resident under the laws of country outside India. **(This clause is applicable only if the account holder is a tax resident outside of India)**

(ii) I/We understand that the Ventura is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The Ventura is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/We shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

(iv) I/We agree that as may be required by domestic regulators/tax authorities the Ventura may be required to report, reportable details to CDBT or close or suspend my account.

(v) I/We certify that I/We provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature :	
Name :	Date (DD/MM/YYYY) :
Part IV- Self Certification:	
To be filled only if- (a) Name of the country in Part I is other than India TIN or functional equivalent is not available, or (b) US person is mentioned as YES in Part I, and TIN is not available	
I confirm that I am neither a US person nor a resident for tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.	
Document Proof submitted (Please tick document being submitted) <input type="checkbox"/> Passport <input type="checkbox"/> Election Id <input type="checkbox"/> PAN Card <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhar Card <input type="checkbox"/> NREGA <input type="checkbox"/> Job Card <input type="checkbox"/> Govt. Issued Id Card	

MANDATORY WHERE AADHAAR IS PART OF KYC DOCUMENT

Date: _____

To,
NSDL Database Management Limited (NDML)
4th Floor, Trade World, A Wing,
Kamala Mills Compound, Lower Parel,
Mumbai - 400 013

Dear Sir / Madam,

Sub: - Consent for usage of Aadhaar Number

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/We may be held liable for it. I am aware of other modes of KYC which are available, and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by NDML KRA only for the specific purpose of validating /maintaining / sharing my KYC record and as audit evidence. I will have an option to request for deletion of my Aadhaar record.

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

I am/ we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details.

I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digi locker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

	Name(s) of holder(s)	Signature(s) of holder
Sole / First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

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

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

	Name(s) of holder(s)	Signature(s) of holder
Sole / First Holder (Mr./Ms.)		

Notes :

1. **All communications shall be sent at the address of the Sole/First holder only.**
2. **Thumb impression and signatures other than English or Hindi or any of the other languages not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.**
3. **Instructions related to nomination, are as below:**
 - I. The Nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly.
 - II. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.
 - III. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
 - IV. The nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of attorney holder. A non-resident Indian can be a nominee, subject to the exchange controls in force, from time to time.
 - V. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
 - VI. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
 - VII. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
 - VIII. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
 - IX. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
 - X. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
 - XI. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
 - XII. Savings bank account details shall only be considered if the account is maintained with the same participant.
 - XIII. DP ID and Client ID shall be provided where demat details is required to be provided.
4. **For receiving Statement of Account in electronic form:**
 - i. Client must ensure the confidentiality of the password of the email account.
 - ii. Client must promptly inform the Participant if the email address has changed.
 - iii. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
5. **Strike off whichever is not applicable.**
6. **In case physical share certificate are to be converted to demat, the same has to be handed over to the branch ONLY alongwith duly filled DRF form.**

For Office Use :

I verify that the Account opening form is in order.

Name :

Signature :

Date :

	Date	Name	Signature
Checked & Entered in DPM			
Released in DPM			



I-Think Techno Campus, "B" Wing, 8th Floor, Off. Pokhran Road No. 2,
Close to Eastern Express Highway, Thane (West) - 400607, Maharashtra, India.

Tel.: 91-22-6754 7000 / 6622 7100

Website: www.venturasecurities.com



Declaration Cum Undertaking Given By Client To DP

To,

Ventura Securities Limited (DP ID – IN303116)

“B” Wing, 8th Floor,

I-Think Techno Campus,

Pokhran Road, No.2,

Off Eastern Express Highway,

Thane - 400 607, Maharashtra, India.

Sub : NRI DP Account Opening

Dear Sir

I/We hereby declare that I/We have read and understood the present Rules and Regulations of the FEMA pertaining to investment in securities market.

In addition to above, I/We also confirm that I/We have complied and will continue to comply with FEMA Rules and Regulations.

Thanking you.

Yours faithfully,

Name : _____

Signature :-

Signature of the 1st Holder

Signature of the 2nd Holder

Signature of the 3rd Holder

Place : _____

Date : _____

POLICY OF VENTURA SECURITIES LIMITED (VSL) TO HANDLE GOOD TILL CANCEL (GTC) OR GOOD TILL TRIGGER (GTT) ORDER(S) PLACED BY CLIENTS

Certain front-end terminals of VSL has facility to place orders which shall remain in the system till a particular period or till it is cancelled or till it is triggered and may get converted into trades. The actual rule of the Exchanges requires Stock Brokers to lay down a policy to handle such orders and communicate the same to their clients. The policy of VSL to handle such order is as under and it aims to appraise the clients about the functionality, validity and execution of such order:

GTT Orders functionality

GTT (Good Till Triggered) orders are branded “**For365**” at VSL. If the order remains open, it will be automatically canceled after 365 days from the date of order placement, or expiry of the contract, whichever is earlier.

For365 order allows customers to place a buy or sell order that remains in our system in passive mode, until a specified trigger price is reached. Once the trigger price is reached, the order is placed on the exchange trading platform, subject to RMS checks such as margin required or stock availability in holdings as the case may be.

For365 orders help investors capture favourable market movements by avoiding a burden of constant monitoring.

For365 orders can be a single order or an OCO (One Cancels the Other) order. Under single orders, the investor is required to provide a direction (either buy or sell), a trigger price and a limit price. If the trigger price is reached, then the order is placed with the exchange trading system in the limit price.

Under OCO orders, the investor is required to provide a direction (buy or sell) and trigger price and limit prices for both legs - stop loss and target. If the trigger price for one leg is hit, the order for that leg is placed with the exchange trading platform, and the other leg is automatically cancelled.

Risk on Corporate Actions

When a corporate action happens, such as a stock split or a bonus or a merger or a significant dividend announcement, etc., it can alter the stock's price as well as its derivatives price substantially. If a **For365** order is in place for that stock, the trigger price may become absurd, due to the new price levels created by the corporate action. This could result in the order getting placed on the exchange and getting executed at an unintended price, resulting in a loss to the client.

Corporate actions that impact the price could be dividends, splits, bonus, mergers, acquisition, rights issues, spin-off, carve outs, demerger, capital reduction, buy-backs, OFS etc. There doesn't appear to be a corporate action that will not impact price.

Handling of pending orders in the event of corporate announcement

1. All **For365** pending orders placed by customers in the **stocks or F&O contract** where corporate action is declared, would be canceled except for “**Dividends**” as corporate action. It is the considered opinion of VSL that the Dividend announcement may not impact the price of the stock substantially and canceling the order of the client due to such announcement may not be in the interest of the client.

2. All pending orders cancellation communication would be sent via email to respective customers **@4 PM**, 2 days prior to ex-date.
3. This impending order cancellation information would also be displayed on App and Web on dashboard as notification.
4. The orders would be cancelled **@11:30 PM one day prior to ex-date** and fresh orders placement in that stock or F&O contract will not be allowed past 11:30 PM.
5. Fresh order placement will be reactivated **@9:15 AM on ex-date**

For Example: If Stock "x" declared bonus and ex-date is 18th August 2024. Those customers having For365 pending orders in that stock would receive a communication about order cancellation @4 PM on 16th August 2024 (including Sundays / Or Holidays). All pending orders would be cancelled @11:30 PM on 17th August 2024 and no fresh orders would be allowed post 11:30 PM. Customers can place fresh For365 orders in that stock or F&O contract from 9:15 AM on 18th August.

Types Of Corporate Actions

1. **Dividends:** Dividends are payments a firm provides to its shareholders, typically in the form of a profit distribution that heavily relies on the investor's return on investment.
2. **Stock Splits:** A stock split is a corporate decision that lowers the price per share while raising the total number of shares in circulation in a corporation.
3. **Mergers and Acquisitions:** When two businesses that are comparatively the same size combine to establish a new, larger firm, this is known as a merger. Acquisitions take place when one business purchases another.
4. **Rights Issues:** An offering in which a business grants current shareholders the option to buy additional shares at a reduced price is known as a rights issue.
5. **Bonus Issues:** Bonus issue is a sort of offering in which a corporation gives away free additional shares to its current owners. According to a predefined ratio, shareholders receive more shares based on the shares they already possess.
6. **Tender Offers:** A tender offer is a sort of offering in which a business proposes to pay a higher price to its shareholders in exchange for a predetermined number of shares.
7. **Buybacks:** A corporation may choose to repurchase its shares on the open market as part of a buyback program, sometimes referred to as a share repurchase plan.
8. **Spinoffs:** A spinoff is a type of corporate activity when a firm separates a subsidiary or business unit from the parent company to form a new, independent company. Shares of the new firm, which later becomes a distinct, publicly listed corporation, are often distributed to parent company shareholders.
9. **Carve-outs:** A carve-out is a corporate action when a firm sells a portion of a subsidiary or business unit to the general public or a private investor while keeping a stake in the company
10. **Capital reduction:** Capital reductions are generally done through share cancellations, paid-back capital, or share repurchases (buybacks).
11. **Tender offer:** A tender offer is a sort of offering in which a business proposes to pay a higher price to its shareholders in exchange for a predetermined number of shares.

I acknowledge receipt of above policy of Good till cancel (GTT) OR Good Till Trigger (GTT) have been read and understood by me.

Signature of the Applicant : _____

Name of the Applicant : _____

Date : _____

Ventura Securities Limited,

No. 1, Nana Street, 2nd Floor, T Nagar,

Chennai – 600017, TamilNadu, India.

Dear Sir,

I / We are hereby executing following Demat Debit and Pledge instruction (DDPI) in favour of Ventura Securities Limited, authorizing them to operate aforesaid beneficiary account DP ID IN303116, Client Id _____ of Client Code _____ for the below mentioned specific purposes.

Sr.	Purpose	Signature of First / Sole Holder	Signature of Second Holder	Signature of Third Holder
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / Settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stockbroker.			
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.			
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms.			
4	Tendering shares in open offers through Stock Exchange platforms.			

Note: This authorization will continue to remain valid until revoked in writing by you (pursuant to SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2022/137 dated October 06, 2022)

I / we understand that the above instruction shall result into movement / pledge / re-pledge of securities to the demat account of Ventura Securities Limited as mentioned here below:

Sr.	DP ID	Client ID	DP Name	Client Name
1.	IN303116	10003942 – IN563542	Ventura Securities Limited	Ventura Securities Limited
2.	IN303116	10003959 – IN564498	Ventura Securities Limited	Ventura Securities Limited
3.	IN303116	12958507 – IN528838	Ventura Securities Limited	Ventura Securities Limited
4.	IN303116	13121388	Ventura Securities Limited	Ventura Securities Limited
5.	IN303116	13121396	Ventura Securities Limited	Ventura Securities Limited
6.	IN001150	IN620031 – Mutual Fund	Indian Clearing Corporation Limited	Indian Clearing Corporation Limited

1. Name of First / Sole Holder

2. Name of Second Holder

3. Name of Third Holder



Date: _____

To,
Ventura Securities Limited
I-Think Techno Campus,
8th Floor, B Wing, Off Pokhran Road No. 2
Eastern Express Highway
THANE – 400 607.

Dear Sir

Sub.:– Registration of Email Id of my family member (#)

Registration of Mobile Number of my family member (#)

I/We hereby wish to update my abovementioned email id and or mobile number in your records. I/ We state that I / we do not have email id and or mobile number, therefore, I / we have adopted email id and or mobile number of my family member and my relationship with the holder of email id and or mobile number is stated in the below table.

Name of the person to whom email id and or mobile number belongs to.	Relationship (#)
	Spouse / Dependent Children / Dependent Parent

I / We request you to update the above stated email id and or mobile number in my trading client code _____ and in my / our demat Client ID _____.

Account Holders Details	Client Name	Signature
First / Sole Holder		
Second Holder		
Third Holder		

Strike out whichever is not applicable.

Account Modification Request Form

Date_____

I / We request you to make the following changes to my/our account: (Tick any one below)

☐
T rating and DP

☐
Only T rating

☐
Only DP

Please Fill all the details in Block Letters in English

VENTURA SECURITIES LIMITED									Trading Client Code							
DP ID	I	N	3	0	3	1	1	6	Demat Client ID							

Change of	New Details (Please Fill up the details which needs to be changed)																											
Address Details	Address:																											
	City:								Pin Code:																			
	State:								Country:																			
Bank Details	Bank Name :																											
	Bank Account No. :																											
	Bank A/c Type :																											
	MICR Code:																											
	IFSC Code																											
Email Id																												
Mobile No.																												
Other details, if any																												

	Sole / First Holder	Second Holder	Third Holder
Client Name			
Signature			

DOCUMENTS REQUIRED:

- For Change of Address: Self Attested copy of Proof of Identity & Proof of Address.

- For Bank details: Cancelled cheque leaf with pre-printed client name, MICR & IFSC code.

Original documents to be presented for verification.

===== (For Office Use ONLY) =====

DETAILS CHECKED AND MODIFIED IN TRADING ACCOUNT

Date	Checked by	Verified by

DETAILS CHECKED AND MODIFIED IN DEMAT ACCOUNT

Date	Checked by	Verified by	DPM INSTRUCTION NO.

**Request letter to be submitted by the Client to the Participant for
minor correction in name of the account holder in demat account**

Date: _____

Ventura Securities Limited
I-Think Techno Campus,
8th floor, B Wing,
Off Pokhran Road No.2,
Eastern Express Highway,
Thane, Maharashtra- 400607 India.

Madam / Dear Sir,

I hereby request you to correct my name in the following demat account held with you:-

I. Account Number

DP ID	I	N							Client ID								
-------	---	---	--	--	--	--	--	--	-----------	--	--	--	--	--	--	--	--

2. Reason for minor correction (please tick any one)

☐ Expansion of initials ☐ Addition of middle name ☐ Abbreviation to initials ☐ Correction of spelling mistakes

3. I hereby declare that the above specified reason for correction in name in my demat account is not on account of change name due to marriage, divorce, Court order, numerology or any other reasons.

4. Name as should be recorded in my demat account

Correct name :-

5. Specify the proof of identity submitted

☐ PAN card ☐ AADHAAR card ☐ Passport ☐ Driving Licence ☐ Voter's identity card issued by the Election Commission of India ☐ Job card issued by NREGA

6. Signature of Client (In case of joint account, request must be signed by the Client in whose name change is required)

Name of the Client	Signature