



Application Kit

Equity

Documents Required

Pan Card
Address Proof
Cancelled Cheque
Income Proof



Instructions / checklist 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, 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. 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 (POA)

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

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License.
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.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and /or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities / multilateral agencies exempt from paying taxes / filing tax returns in India.
4. SIP of Mutual Funds up to 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 or/ and IFSC Code of the bank should be submitted.

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

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.

For non-individuals:

- a. Form need to be initialized by all the authorized signatories.
- b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/others & their specimen signatures.



| S. No. | Name of the Document | Brief Significance of the Document | Page No |
|--|--|--|----------------------|
| MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES | | | |
| 1 | Account Opening Form | A. KYC form - Document captures the basic information about the constituent and an instruction/checklist. B. Document captures the additional information about the Constituent relevant to trading account and an instruction /check list. | 3 4 – 6 |
| 2 | Tariff Sheet | Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s). | 7 |
| 3 | Rights and Obligations | Document stating the Rights & Obligations of stock broker /trading member and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading). | Annexures page 2 |
| 4 | Risk Disclosure Document (RDD) | Document detailing do's and dont's for trading on exchange for education of investors | Annexures page 13 |
| 5 | Guidance note | Document describing significant policies and procedures of Stock Broker. | Annexures page 13 |
| 6 | Policies and Procedures | Document detailing risks associated with dealing in the securities market. | Annexures page 16 |
| VOLUNTARY AND OPTIONAL DOCUMENTS AS PROVIDED BY THE STOCK BROKER | | | |
| 7 | Undertaking | Contains voluntary undertakings by the client with respect to Mathisys's internal operations during the course of the relationship with Mathisys. | 8 – 9 |
| 8 | Running Account Authorization and Mobile Declaration | Letter of Authorization for maintaining a Running Account with Mathisys and Client consent letter for receiving SMS from Mathisys | 10 |
| 9 | Client Defaulter Declaration and Client Acknowledgment | Client declaration stating that he is not a defaulter and Client acknowledgment that he has read all the rules & regulations. | 11 |
| Name of the Trading Member | | Mathisys Quantcap LLP (hereinafter referred to as "Mathisys") | |
| Name of the Clearing Member | | Mathisys Quantcap LLP | |
| Cash Segment | | NSE, BSE : Mathisys Quantcap LLP | |
| Derivatives | | NSE: F&O: COM: BSE: F&O: COM: SEBI Registration No. INZ000176759 | |
| SEBI Registration Number: Mathisys Quantcap LLP: Member of NSE, BSE & MCX – INZ000176759 | | | |
| Mathisys's Registered Office: Unit No 4, Partly D-2, 15th Floor, Gift One Building, Tower One, Road - 5C, Zone - 5, Gift City, Gandhinagar, Gujarat - 382355 Phone No. : 079-66511000 | | | |
| Correspondence Address : Unit No. 901, 9th Floor, Worldmark 1, Village Maidawas. Sector 65, Gurgaon-122102 Phone No. : 0124-2570701-704 | | | |
| Compliance Officer: Ms. Ruchi Chandna, Phone No. & Email ID: 0124-2570702, ruchi.chandna@Mathisys-india.com CEO: Nihit Gupta, Phone No. & Email ID: 0124-2570701, nihit@Mathisys-india.com For any grievance please contact Mathisys at the above address or email ig@Mathisys-india.com & scores@sebi.gov.in , Phone no. 0124-2570702, | | | |

In case not satisfied with the response, please contact the concerned exchange at:

1.NSE: ignse@nse.co.in or contact at 1800-266-0050 | 2. BSE: is@bseindia.com or contact at 022-22728097





Know Your Client (KYC) Application Form - for Individuals

Please fill this form in English and BLOCK Letters

(Please tick the box on the left margin of the appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding window)

For office use only (To be filled by the financial institution)

Application Type* ☐ New ☐ Update KYC Number
Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

A. Identity details

| | | |
|--------------------------|----------------------------|--|
| <input type="checkbox"/> | 1. Name (Same as ID Proof) | |
| | 1a. Maiden Name (If any) | |
| <input type="checkbox"/> | 2. Father's/Spouse's Name | |
| | 2a. Mother's Name | |

Photograph

Please affix your recent passport size photograph and sign across it

F1

☐ 3a. Gender ☐ Male ☐ Female ☐ Transgender 3b. Marital Status ☐ Single ☐ Married ☐ Other 3c. DOB

☐ 4a. Citizenship ☐ Indian ☐ Other _____ (ISO 3166 Country Code)

☐ 4b. Residential Status ☐ Resident Individual ☐ Non Resident Indian ☐ Person of Indian Origin ☐ Foreign National

Tick if applicable ☐ Residence for tax purposes in jurisdiction(s) outside India

ISO 3166 Country Code of Jurisdiction of residence Place of birth _____

Tax Identification Number or Equivalent ISO3166 Country Code of Birth

5a. PAN

5b. Unique Identification Number (UID) / AADHAR

6. Proof of Identity Submitted ☐ Pan Card ☐ Other (Please Specify) _____

B. Address details

☐ 1. Contact Details

| | | | |
|-----------------------|----------------------|-----------|----------------------|
| Telephone (Office) | <input type="text"/> | Mobile No | <input type="text"/> |
| Telephone (Residence) | <input type="text"/> | Email ID | <input type="text"/> |

☐ 2. Residence/Correspondence Address Address Type: ☐ Residential ☐ Business ☐ Unspecified

| | | | |
|---|------------------|----------|--|
| Address | | | |
| | | | |
| City/Town | District | Pin Code | |
| State/U.T Code | Country/ISO Code | | |
| Specify the Proof of Address Submitted for Residence / Correspondence Address | | | |

C. DECLARATION

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

F2

Client Signature

Date :

FOR OFFICE USE ONLY

In Person Verification (IPV) Details:

Name of the Person who has done the IPV: _____

Designation: _____ Employee ID: _____

Name of the Organization: MATHISYS QUANTCAP LLP.

Date of the IPV: Signature of the Person who has done the IPV

Seal/Stamp of the Intermediary

☐ Originals Verified and Self-Attested Document Copies Received

Date

Signature of the Authorized Signatory



C. 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 _____

D. Depository account(s) details

Depository Name: NSDL ☐ CDSL ☐

| | | | | |
|-----------------------------|--|--|----------------|--|
| Depository Participant Name | | | | |
| Beneficiary Name | | | | |
| Depository ID | | | Beneficiary ID | |

E. Dealings through other stock brokers

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

| | | | |
|--|--|--------------------|--|
| Name of Stock Broker | | Sub Broker, if any | |
| Client Code | | Exchange(s) | |
| Website | | | |
| Details of disputes/dues pending from/to such stock broker | | | |

F. Introducer details (optional)

| | | | |
|--|--|----------------------|--|
| Name of the Introducer | | | |
| Status of the Introducer - Sub-broker/Remisier/Authorized Person/Existing Client | | | |
| Address of the Introducer | | | |
| Phone Number | | Signature (optional) | |

G. Trading preferences / experience

No Prior Experience ☐

| | | | | | |
|-------------------|--|----------------------|--|---|--|
| Years in Equities | | Years in Derivatives | | Years in other Investment Related Field | |
|-------------------|--|----------------------|--|---|--|

Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

*If, in future, the client wants to trade on any new segment, a separate authorization/letter should be taken from the client by the broker.

| Exchanges | BSE & NSE | | | | |
|-----------|-------------------|--------|----------|--------|-----------------------|
| Segments | Cash/Mutual funds | F&O | Currency | Debt | Commodity derivatives |
| | F3 (a) | F3 (b) | F3 (c) | F3 (d) | F3 (e) |

If you do not wish to trade in any segment/mutual fund, please mention here _____

H. Additional details

(I) Whether you wish to receive (a) Physical contract note ☐ (b) Electronic Contract Note (ECN) ☐

If ECN Specify your Email ID _____

(II) Whether you wish to avail the facility of internet trading/wireless technology/mobile trading Yes ☐ No ☐

I. Nomination details (Please tick the appropriate options)

☐ I / We do wish to nominate (Fill Annexure 1A)

☐ I / We do not wish to nominate (Fill Annexure 1B)



Internet & wireless technology based trading facility provided by stock broker to the client

(All the clauses mentioned in the "Rights and Obligations "document(s) shall be applicable.

Additionally, the clauses mentioned herein shall also be applicable.)

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

Declaration

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

Client Name _____

Place _____

Date :

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

| | |
|--|------------------|
|  F4 | Client Signature |
|--|------------------|

Tariff sheet

To

Mathisys Quantcap LLP

Unit No 4, Partly D-2, 15th Floor, Gift One Building, Tower One, Road - 5C, Zone - 5, Gift City, Gandhinagar, Gujarat – 382355

Charges for Mathisys Trading Services

I/ We agree to pay the charges as per following charges structure for our Trading account with Mathisys effective _____

Client ID: _____

| Charge Head | Brokerage / Charges |
|---------------------------|---|
| Equity Intraday | Rs. 10 per executed order or 0.01% of Turnover whichever is lower |
| Equity Delivery | Zero Brokerage |
| Futures | Rs. 10 per executed order or 0.01% of Turnover whichever is lower |
| Options | Rs. 10 per executed order |
| Call & Trade Services | Rs. 20 per order placed through a Dealer at Mathisys |
| NRI - Equity Delivery | Rs. 100 per executed order or 0.5% of Turnover whichever is lower |
| NRI - Futures & Options | Rs. 100 per executed order placed using a CP code |
| NRI - NRO non-PIS account | Rs. 100 per executed order or 0.5% of Turnover whichever is lower |

Disclaimer: For Delivery based trades, a minimum of Rs. 0.01 will be charged per contract note. A brokerage of 0.1% of the contract value will be charged for contracts where physical delivery happens. In addition to the brokerage charge the following charges will also be levied. If the account is in debit balance, any order placed will be charged Rs. 20 per executed order instead of Rs. 10 per executed order.

Schedule of Charges:


1. Exchange transaction charges | 2. Clearing charges | 3. Securities Transaction Tax | 4. Goods & Services Tax | 5. SEBI Turnover fees | 6. Stamp Duty : State-wise stamp duty as applicable will be levied

Note : Brokerage will not exceed the rates specified by SEBI and the Exchanges

All Statutory and Regulatory charges will be levied as per exchange, SEBI, and depository circulars published from time to time.

Brokerage is also charged on expired, exercised, and assigned Options contracts

Charges for other value added services will be applicable at the time of availing such service, upon your consent. Detailed explanation of all charges is available online at : <https://Mathisys-india.com/charge-list>



Client Signature

For office use only

UCC Code allotted to the Client _____

| | Documents verified with originals | Client interviewed by | In-Person Verification done by |
|-------------------------|-----------------------------------|-----------------------|--------------------------------|
| Name of the Employee | | | |
| Employee Code | | | |
| Designation of employee | | | |
| Date | | | |
| Signature | | | |

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

Signature of the Authorised Signatory

Seal/Stamp of the stock broker

Date : _____



**Sub: Voluntary Undertaking/Authorisation**

With respect to member-constituent relationship and mandatory and voluntary (optional) documents executed between us, I/we do hereby authorize Mathisys to do the following:

1. ORDER PLACEMENT INSTRUCTIONS

I understand that you require written instructions from me for placing/modifying/cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting/calling/emailing the call centre/branch specified for the said purpose by Mathisys in case of breakdown of internet connectivity or other similar reasons. I hereby request you to kindly accept my verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other approved modes. I/we also agree that non-receipt of bounced mail notification by you shall amount to delivery of contract note at my/our email ID. I indemnify Mathisys and its employees against all trade related losses, damages, actions which you may suffer or face, as a consequence carrying out my instructions for orders placed verbally

2. ERRORS AND OMISSIONS

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances Mathisys shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold Mathisys responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by Mathisys.

3. NO MARKET MANIPULATION

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc. or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, Mathisys has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

4. NOT TO ACT AS UNREGISTERED SUB BROKER

I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients. In case I wish to deal for other clients also, I undertake to apply to SEBI through Mathisys to obtain a sub broker registration. In case Mathisys perceives that I am acting as an unregistered sub broker, Mathisys has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to Mathisys without the requirement of any notice from Mathisys. Further, Mathisys has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify Mathisys from any loss/ damage/claim arising out of such activity.

5. NOT DEBARRED BY ANY REGULATOR

I confirm and declare that there is no bar on me imposed by any Exchange or any regulatory and/or statutory authority to deal in securities directly or indirectly. I agree to inform Mathisys, in writing, of any regulatory action taken by any Exchange or regulatory/statutory authority on me in future. In case I fail to inform the same and Mathisys on its own comes to know of such action, Mathisys has the right to suspend/close my trading account and refuse to deal with me. Also, Mathisys can at its sole discretion, close all the open positions and liquidate collaterals to the extent of trade related debit balances, without any notice to me.

6. PMLA DECLARATION

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by Mathisys officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that;

a. I do not have any links with any known unlawful persons/institutions

b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

7. INDEMNIFICATION I hereby indemnify and hold Mathisys, its Partner and employees harmless from and against all trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the Mathisys directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

INDEMNITY OF JOINT HOLDINGS

I hereby agree to indemnify and hold Mathisys harmless from any trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.





8. DELAYED PAYMENT CHARGES

I understand that in case my account is in debit balance due to utilisation of funds over and above the available funds, and my account goes into negative balance, I will be charged interest at 0.05% per day or 18% per annum on such debit balance. For derivative positions, it is a requirement by the Exchanges that 50% of the margins be fulfilled in the form of cash or cash equivalent. The other 50% may be satisfied by providing non-cash collateral as margin. I acknowledge that failure to maintain sufficient cash margin and resorting to the use of non cash collateral to fulfil derivative margin requirement will result in a delayed payment charge of 0.035% per day.

9. NRI DECLARATION

I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to Mathisys every time the investment is made.

10. THIRD-PARTY PAYMENTS

Mathisys shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along with adequate proof thereof as per proforma prescribed by Mathisys. Mathisys shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third-party payment has been accepted by Mathisys and the credit for the same has been given in the client's ledger, Mathisys shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, Mathisys reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. Mathisys, its Partner and employees shall not be responsible for any consequential damages or losses.

11. NO DEALINGS IN CASH

Mathisys as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub-Broker/ Remisier/Employee/Authorised Person of Mathisys.

12. DISCLOSURE OF PROPRIETARY TRADING BY MATHISYS

Pursuant to SEBI Circular Number SEBI/MRD/SEC/Cir-42/2003 dated November 19, 2003, Mathisys discloses to its clients about its policies on proprietary trades. Mathisys does proprietary trades in the cash and derivatives segment at NSE & BSE.

13. DELIVERIES

The client shall ensure that the shares are properly transferred to the designated demat account of Mathisys, for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchanges/Mathisys. In case the client fails to transfer the shares on time to Mathisys, Mathisys shall not be responsible for any loss/damages arising out of such delayed transfers.

14. SQUARING OFF OF POSITIONS & SALE /LIQUIDATION OF COLLATERAL MARGINS (to the extent of Settlement Margin obligation)

The client shall settle the transactions, within the Exchange specified settlement time, by making the requisite payment of funds and/or delivery of the shares. In case the client fails to settle the transactions within the settlement date, then Mathisys has the right to square off the open and/or unpaid positions, at an appropriate time, as it deems fit, without any notice to the client. The client shall not have any right or say to decide on the timing of closure of the open positions that needs to be closed. Mathisys, or its Partner and Employees shall not be responsible for any trade related loss or damages arising out of such square offs. All such square off transactions shall have implied consent and authorization of the client in favour of Mathisys.

After such square off of open positions by Mathisys, as mentioned in above clauses, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balance, Mathisys shall have the right to liquidate the shares and other securities of the client (kept as collateral/margin) to the extent of the debit balance, without any intimation to the client. The client shall not have the right to decide on the timing of liquidation of shares and securities held in collateral/margin and the shares and securities that needs to be sold or liquidated. Mathisys, or its Partner and employees shall not be responsible for any trade related loss or damages arising out of such selling.

| | |
|--|------------------|
|  F6 | Client Signature |
|--|------------------|





Running account authorization

Voluntary


I/We are dealing through you as a client in Capital Market and/or Future & Option segment and in order to facilitate ease of operations and upfront requirement of margin for trade.

I/We authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise.
2. I/We request you to retain Funds with you for my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing Corporation, unless I/We instruct you to transfer the same to my/our account.
3. I/We request you to settle my fund account (choose one option) ☐ Once in a calendar Month
☐ Once in every calendar Quarter except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt
4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges.
5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
6. I/We confirm you that I can revoke the above mentioned authority at any time.
7. This running account authorization would continue until it is revoked by me.

Date :

Yours faithfully,

 F7 Client Signature

Mobile /Email declaration

Voluntary

I _____ having PAN _____ do hereby declare that this mobile no. _____ and email Id is _____ belongs to myself / Spouse / Dependant-Parents /Dependant-Children. Further, I authorize MATHISYS that the same may be used for giving me any information/ alert/SMS. I further declare the above mentioned statement is true and correct.

 F8 Client Signature



Client defaulter declaration

Voluntary

I _____ having PAN _____ do hereby declare that I have not been involved in any unlawful activities and I have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchange/ Regulatory bodies, etc. I further declare that the above mentioned declaration/ statement is true and correct.

 F9 Client Signature

To

Mathisys Quantcap LLP

Unit No 4, Partly D-2, 15th Floor, Gift One Building, Tower One, Road - 5C, Zone - 5, Gift City, Gandhinagar, Gujarat - 382355

Sub: Acknowledgement

This is to acknowledge the receipt of following documents. I further state and confirm that I have read and understood all the clauses of aforesaid documents.

| Sl. No | Brief significance of the Document |
|--------|--|
| 1 | Duly Executed Copy of KYC |
| 2 | Rights and Obligations |
| 3 | Risk Disclosure document (RDD) for Capital, Derivatives, and Currencies Segments |
| 4 | Guidance Note - Do's and Dont's for trading on the Exchange(s) for investors |
| 5 | Mathisys Tariff Sheet |
| 6 | Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009 |
| 7 | General Terms & Conditions governing securities trading and broking services of Mathisys |
| 8 | Running account authorisation, Mobile declaration & Client defaulter declaration |

I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of Mathisys

Yours faithfully,

Client Name : _____

 F10 Client Signature

Date :

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|



From,

To,
Mathisys Quantcap LLP,
Unit No 4, Partly D-2, 15th Floor, Gift One Building,
Tower One, Road - 5C, Zone - 5, Gift City,
Gandhinagar, Gujarat - 382355

Subject: Declaration for Confirmation of Signature

Sir/Madam,

This letter is to confirm that all signatures placed on the account opening forms, and all such other documents towards Mathisys Quantcap LLP or any of its group entities, are done solely by me with complete knowledge of all such terms and clauses contained therein.

I/We, the undersigned, would like to request Mathisys Quantcap LLP or any of its group entities to accept the signed account opening forms and documents, even in case there may be slight variations on a few pages/areas of the document.

I/We, the undersigned, further would like to represent and warrant that in case of any misrepresentation with respect to the signatures placed on the account opening forms or all such documents towards Mathisys Quantcap LLP or any of its group entities by me/us, I/We will indemnify Mathisys Quantcap LLP and its Partner/employees/agents for all such actions.

Yours faithfully,
Signature:


Name:



Request letter for registration of mobile no./email ID of person belonging to the client's family

Please note that the mobile no./email id/both mentioned in the Account opening form/ request for change in mobile no./email ID belongs to Mr/Mrs./Ms.

_____ who is my
[relationship with the client]

| | |
|---|--|
|  F16 | First/Sole Holder or Guardian (in case of Minor) |
|---|--|

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








Nomination Details - Annexure 1A

Date

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.

| | | | | | |
|------|--|-----|--|----------|--|
| Name | | UCC | | Demat ID | |
|------|--|-----|--|----------|--|

Nomination Details

| Up to 3 nominations can be made | | Details of 1st Nominee | Details of 2nd Nominee | Details of 3rd Nominee |
|--|--|--|------------------------|--|
| Name of the nominee(s) (Mr./Ms.) | | | | |
| Share of each nominee | <input type="checkbox"/> Distribute equally <small>[If not equally shared, please specify %age]</small> | | | |
| | | Any odd lot after division shall be transferred to the first nominee mentioned in the form. | | |
| Relationship With the Applicant (if any) | | | | |
| Address of nominee(s) | | | | |
| Mobile/Telephone no. of nominee(s) | | | | |
| Email ID of nominee(s) | | | | |
| Proof of identity submitted for nominee(s) | | | | |
| Fill below details only if the nominee is a minor | | | | |
| Date of birth | | | | |
| Name of the guardian | | | | |
| Address of guardian(s) | | | | |
| Mobile/Telephone no. of guardian(s) | | | | |
| Email ID of guardian(s) | | | | |
| Relationship of guardian with nominee | | | | |
| Proof of identity submitted | | | | |
|  F17 (in case of) | |  -S6 Second Holder | |  - T6 Third Holder |

Note:

- This nomination shall supersede any prior nomination made by the account holder(s), if any.
- The Trading Member shall provide acknowledgment of the nomination form to the account holder(s).

Date

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|

 :

To,
Mathisys Quantcap LLP.


| | |
|-------|--|
| DP ID | |
|-------|--|


| | |
|--|--|
| | |
|--|--|


| | |
|--------------------|--|
| First Holder Name | |
| Second Holder Name | |
| Third Holder Name | |

I/We hereby confirm that I/We do not wish to appoint any nominee(s) in my/our trading account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my/ our legal heirs would need to submit all the requisite documents/information for claiming of assets held in my/our trading account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading account.

First/Sole Holder or Guardian

 **F17** (in case of Minor)

 - S6 Second Holder

 - T6 Third Holder

Note: You can add a nominee to your account online on console.zerodha.com after the account is opened.



Most Important Terms and Conditions

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, networth, 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.



Client Signature

"Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back). If printed separately then both the pages should be attached and signed by the applicant."

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



Application No. :

Please fill in ENGLISH and in BLOCK LETTERS with black ink

CVL

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

2. Gender ☐ Male ☐ Female B. Marital status ☐ Single ☐ Married C. Date of Birth d d / m m / y y y y

3. Nationality ☐ Indian ☐ Other (Please specify)

4. Status Please tick (✓) ☐ Resident Individual ☐ Non Resident ☐ Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN Please enclose a duly attested copy of your PAN Card

Unique Identification Number (UID)/Aadhaar, if any:

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

☐ UID (Aadhaar) ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others

(Please see guideline 'D' overleaf

PHOTOGRAPH

Please affix
the recent passport
size photograph and
sign across it

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village

State

Country

Pin Code

2. Contact Details

Tel. (Off.) (ISD) (STD)

Mobile (ISD) (STD)

E-Mail Id.

Tel. (Res.) (ISD) (STD)

Fax (ISD) (STD)

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted d d / m m / y y y y

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village

State

Country

Pin Code

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted d d / m m / y y y y

C. Other Details (please see guidelines overleaf)

1. Gross Annual Income Details (Please tick (✓): ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ > 25 Lacs

OR

Net-worth in ₹. (*Net worth should not be older than 1 year) as on (date) d d / m m / y y y y

2. Occupation (Please tick (✓) any one and give brief details):

☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired

☐ Housewife ☐ Student ☐ Forex Dealer ☐ Others (Please specify)

3. Please tick, if applicable: ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person

For definition of PEP, please refer guideline overleaf

4. Any other information:

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we may be held liable for it.

Place:

Date:

SIGNATURE OF APPLICANT

FOR OFFICE USE ONLY

IPV Done ☐ on d d / m m / y y y y

AMC/Intermediary name OR code

☐ (Originals Verified) Self Certified Document copies received

☐ (Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

B. Proof of Identity (POI): List of documents admissible as Proof of Identity:

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

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

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale

Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

**Important Instructions:**

- A) Fields marked with '*' are mandatory fields.
 B) Please fill the form in English and in BLOCK letters.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please read section wise detailed guidelines / instructions at the end.

- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 F) List of two character ISO 3166 country codes is available at the end.
 G) KYC number of applicant is mandatory for update application.
 H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only

Application Type*

☐ New☐ Update

(To be filled by financial institution)

KYC Number

(Mandatory for KYC update request)

Account Type*

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

| | Prefix | First Name | Middle Name | Last Name |
|---|--|---|---|----------------------|
| <input type="checkbox"/> Name* (Same as ID proof) | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Maiden Name (If any*) | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Father / Spouse Name* | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Mother Name* | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Date of Birth* | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 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"/>) | | |
| Residential Status* | <input type="checkbox"/> Resident Individual | <input type="checkbox"/> Non Resident Indian | | |
| | <input type="checkbox"/> Foreign National | <input type="checkbox"/> Person of Indian Origin | | |
| Occupation Type* | <input 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"/> Housewife <input type="checkbox"/> Student) | |
| | <input type="checkbox"/> B-Business | | | |
| | <input type="checkbox"/> X- Not Categorised | | | |

PHOTO

 Signature / Thumb Impression

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

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

ISO 3166 Country Code of Jurisdiction of Residence*

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth*

ISO 3166 Country Code of Birth*

☐ **3. PROOF OF IDENTITY (PoI)*** (Please refer instruction **C** at the end)(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

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

4. PROOF OF ADDRESS (PoA)*☐ **4.1 CURRENT / PERMANENT / OVERSEAS 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* | <input type="checkbox"/> Residential / Business | <input type="checkbox"/> Residential | <input type="checkbox"/> Business | <input type="checkbox"/> Registered Office | <input type="checkbox"/> Unspecified |
| Proof of Address* | <input type="checkbox"/> Passport | <input type="checkbox"/> Driving Licence | <input type="checkbox"/> UID (Aadhaar) | | |
| | <input type="checkbox"/> Voter Identity Card | <input type="checkbox"/> NREGA Job Card | <input type="checkbox"/> Others | <input type="text"/> | |
| | <input type="checkbox"/> Simplified Measures Account - Document Type code | | | | |

Address

| | | | | |
|-----------|----------------------|------------------|----------------------|------------------------|
| Line 1* | <input type="text"/> | | | |
| Line 2 | <input type="text"/> | | | |
| Line 3 | <input type="text"/> | | | |
| District* | <input type="text"/> | Pin / Post Code* | <input type="text"/> | State / U.T Code* |
| | | | <input type="text"/> | ISO 3166 Country Code* |
| | | | <input type="text"/> | <input type="text"/> |

| 9. ATTESTATION / FOR OFFICE USE ONLY | |
|---|--|
| Documents Received <input type="checkbox"/> Certified Copies | |
| KYC VERIFICATION CARRIED OUT BY | INSTITUTION DETAILS |
| Date DD - MM - YYYY | Name [Name Field] |
| Emp. Name [Emp. Name Field] | Code [Code Field] |
| Emp. Code [Emp. Code Field] | <div style="border: 1px solid #ccc; width: 100%; height: 100%; display: flex; align-items: center; justify-content: center;"> [Institution Stamp] </div> |
| Emp. Designation [Emp. Designation Field] | |
| Emp. Branch [Emp. Branch Field] | |
| <div style="border: 1px solid #ccc; width: 100%; height: 100%; display: flex; align-items: center; justify-content: center;"> [Employee Signature] </div> | |

General Instructions:

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

A Clarification / Guidelines on filling 'Personal Details' section

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

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

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

C Clarification / Guidelines on filling 'Proof of Identity [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 undernoted relevant code may be mentioned in point 3 (S).

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

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

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

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

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

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

F Clarification / Guidelines on filling 'Contact details' section

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

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

- 1 Provide KYC number of related person if available.

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

FATCA/CRS Declaration Form

| |
|-----------|
| Appl. No. |
| |

| | | | | | | | | |
|-------|---|---|---|---|---|---|---|---|
| Date: | D | D | M | M | Y | Y | Y | Y |
|-------|---|---|---|---|---|---|---|---|

Account Holder: Primary ☐ Joint Holder 1 ☐ Joint Holder 2 ☐ Mandate Holder ☐

| | | | |
|--|--|--|-----|
| Customer ID | | Country of Birth | |
| Customer Name | | Country of Citizenship | |
| Residential status | <input type="checkbox"/> NRI <input type="checkbox"/> Resident | Country of Present Residence | |
| US Person* | <input type="checkbox"/> Yes <input type="checkbox"/> No | Country of Residence for Tax Purposes (In case of multiple tax residences, please specify) | i) |
| *US person means - a citizen or resident of USA or a green card holder or an estate of a decedent who was a citizen or resident of USA | | | ii) |

PLEASE FILL THE FOLLOWING DETAILS (IF TAXPAYER IDENTIFICATION NUMBER (TIN) / FUNCTIONAL EQUIVALENT (FE) IS AVAILABLE)

| TIN/FE/Other Document Number | TIN / FE/ Other Document name | Issuing Country for TIN/FE/Other Document | Type of Document (Others)** |
|------------------------------|-------------------------------|---|--|
| | | | <input type="checkbox"/> Dependent Visa <input type="checkbox"/> Student Visa <input type="checkbox"/> Seafarer (C1D/CDC) <input type="checkbox"/> Diplomat Id <input type="checkbox"/> Retired Person (Resident permit/Visa) <input type="checkbox"/> Going to the country for first time# |
| | | | |

Note:

** TIN/FE is mandatory for your country of residence for tax purposes. In case TIN /FE is not available or has not yet been issued, please provide alternative FE from Type of document - others.

TIN/FE to be communicated to Mathisys within 90 days, else Trading Account may get closed.

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

Self-Certification: To be filled only if any of the indicia is outside India but not a resident for Tax purpose outside India or Country of Birth is US and US person is mentioned as "No"

- ☐ I confirm that I am not a US person and not a resident for tax purpose of US though my Country of Birth is US. Therefore, I am providing the following document as proof of my citizenship and residency in Country other than US.
- ☐ I confirm that I am not a resident for tax purpose of any country other than India and US 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/or residency in India.

Document Name: ☐ Passport ☐ Election ID Card ☐ Driving License ☐ UIDAI Letter ☐ NREGA Job Card / Govt. Issued ID card

Customer Declaration (Applicable for all customers):

- Under penalty of perjury, I certify/understand/agree and declare that:
 - The applicant is (i) taxable as a US person under the laws of the US 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) or
 - The applicant is 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)
- I understand that the Mathisys is relying on this information for the purpose of determining my status in compliance with FATCA/CRS. I shall seek advice from a professional tax advisor for any tax questions as the Mathisys will not provide any tax advice on FATCA/CRS or its impact.
- I agree to submit a new form within 30 days if any information or certification becomes incorrect.
- I agree that as may be required by domestic regulators/tax authorities the Mathisys may also be required to report reportable details to close or suspend my account.
- I certify that the information provided by me on this Form to the best of my knowledge and belief is correct and complete, including the taxpayer identification number / functional equivalent number. I am further aware that I am liable for penalty as per Income Tax Act, 1961 for furnishing inaccurate/false FATCA/CRS self-certification
- I have read and understood the terms and conditions governing my accounts held with Mathisys Quantcap LLP and shall be bound by them.

Signature