



Application Kit

Equity

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients including promoters.
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/OC 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 or 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, FVCI, 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. In case of Non-Individuals, additional documents to be obtained from Non-individuals, over & above the POI & POA, as mentioned below:

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



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.	3 - 4
		B. Document captures the additional information about the Constituent relevant to trading account and an instruction /check list.	5 - 8
2	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	9
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).	Annexure A
4	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	Annexure B
5	Guidance note	Document detailing do's and dont's for trading on exchange for education of investors	Annexure C
6	Policies and Procedures	Document describing significant policies and procedures of Stock Broker.	Annexure D
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.	10 - 11
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	12
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.	13

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. : 0124-2570702-704	
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 & score@sebi.gov.in , Phone no. 0124-2570701-04.	

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

1.NSE: ignse@nse.co.in or contact at 022-26598100 | 2. BSE: is@bseindia.com or contact at 022-22728097



KNOW YOUR CLIENT (KYC) Application Form

☐ NEW ☐ CHANGE REQUEST (Please tick ✓ the appropriate)

Acknowledgement No. _____

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

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

- For Non Individuals

A

IDENTITY DETAILS

1. Name of the Applicant _____

2a. Date of incorporation

D	D	/	M	M	/	Y	Y	Y	Y
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2b. Place of incorporation _____

3. Date of commencement of business

D	D	/	M	M	/	Y	Y	Y	Y
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4a. PAN

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4b. Registration No. (e.g. CIN)

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5. Status (Please tick ✓ the appropriate)

☐ Private Limited Co.

☐ Public Ltd. Co.

☐ Body Corporate

☐ Partnership

☐ Trust

☐ Charities

☐ NGO's

☐ FI

☐ FII

☐ HUF

☐ AOP

☐ Bank

☐ Government Body

☐ Non-Government Organization

☐ Defense Establishment

☐ BOI

☐ Society

☐ LLP

☐

☐

☐

☐ Others (Please specify) _____

FPI - Category I

FPI - Category II

FPI - Category III

B

ADDRESS DETAILS

1.

Address for Correspondence

City / Town / Village _____

State _____

Country _____

Pin Code _____

2. Specify the Proof of Address submitted for Correspondence Address: _____

3. Contact Details

Tel. (Off.) _____

Tel. (Res.) _____

E-Mail Id. _____

Fax _____

Mobile No. _____

4. Registered Address (If different from above)

City / Town / Village _____

State _____

Country _____

Pin Code _____

C

OTHER DETAILS If space is insufficient, enclose these details separately [Illustrative format enclosed]

1. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors:

2a. DIN of whole time directors :

D

DECLARATION

2b. Aadhar number of Promoters/Partners/Karta : _____

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.

Date:

D	D	/	M	M	/	Y	Y	Y	Y
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 Name & Signature of the Authorised Signatory

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In Person Verification (IPV) Details:

Name of the person who has done the IPV: _____

Designation: _____ Employee ID: _____

Name of the organisation: Mathisys Quantcap LLP

Date of IPV:

D	D	/	M	M	/	Y	Y	Y	Y
---	---	---	---	---	---	---	---	---	---

Signature of the person who has done the IPV _____

☐ Originals Verified and Self Attested Document copies received

Seal/Stamp of the Intermediary

Date _____

Name and Signature of the Authorised Signatory _____



1. Name																											
2. Relationship with Applicant (i.e. promoters, whole time directors etc.)																											
3a. PAN						3b. DIN																					
3c. Aadhar (UID) Number																											
4. Residential/ Registered Address																											
City / Town / Village																Country						Pin Code					
State																											

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

1. Name																											
2. Relationship with Applicant (i.e. promoters, whole time directors etc.)																											
3a. PAN						3b. DIN																					
3c. Aadhar (UID) Number																											
4. Residential/ Registered Address																											
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State																											

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

TRADING ACCOUNT RELATED DETAILS

A. BANK ACCOUNT DETAILS

[illegible]

Account Type: Savings ☐ Current ☐ Others ☐ | In case of NRI Account: NRE ☐ NRO ☐

B. OTHER DETAILS

Gross Annual Income Details (please specify): Income Range per annum

Below Rs 1 Lakh ☐ 1-5 Lakh ☐ 5-10 Lakh ☐ 10-25 Lakh ☐ 25 Lakh to 1 Crore ☐ >1 Crore ☐

Net-worth as on (date) () (Net worth should not be older than 1 year)

Mode in which you wish to receive the RDD, Rights & Obligations, and Guidance Note: Physical ☐ Electronic ☐

In case of non-individuals, for any of your Authorized Signatories / Promoters / Partners / Karta/Trustees / Whole time Directors

Please tick, if applicable: Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐

C. DEPOSITORY ACCOUNT(S) DETAILS

[illegible]Depository Name: NSDL ☐ CDSL ☐

D. 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

E. DEALINGS THROUGH SUBBROKERS AND OTHER STOCK BROKERS

If client is dealing through the sub-broker, provide the following details:

[illegible]

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

Name of Stock Broker										Name of Sub Broker, if any									
Client Code										Exchange									

Details of disputes/dues pending from/to such stock broker/sub-broker: _____

F. INTRODUCER DETAILS (optional)

Name of the Introducer
Status of the Introducer - Sub-broker/Remisier/Authorized Person/Existing Client/Others (please specify):
Address of the Introducer
Phone Number
Signature



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.**

Exchanges	BSE & NSE				
Segments	Cash/Mutual funds	F&O	Currency	Debt	Commodity derivatives
	F2 (a)	F2 (b)	F2 (c)	F2 (d)	F2 (e)

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

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.

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 ☐

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of person/s authorized to deal in securities on behalf of the company/firm/others:

Any Other Information: _____



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.

Place _____

Date _____



Signature of all Authorized Signatory(ies)

Instructions/Checklist - As mentioned in the Circular NSE/INSP/18677 dated August 22, 2011 (Annexure 3)

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 _____



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
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 F4	Client Signature
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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	Rs 10 per executed order or 0.1% of Turnover whichever is lower
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

Disclaimer: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.

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

Note :

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

All Statutory and Regulatory charges will be levied at actuals

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

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



Date:_____



MATHISYS

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

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 modes. I indemnify MATHISYS and its employees against all trade related losses, damages, actions which you may suffer or face, as a consequence of adhering to and 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 criminal

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 Directors 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 and/or if I have insufficient funds to manage my trading positions, I will be charged an interest of 0.05% per day as delayed payment charges. I confirm having read the rules & regulations pertaining to the levy of such interest under the policies & procedures page on Mathisys website.

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.

A. 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 Directors and employees shall not be responsible for any consequential damages or losses.

B. 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.

C. 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, and MCX.

D. 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.

E. 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, its Directors 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, its Directors 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/or Currency segment and/or Interest Rate future Segment & 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 securities/Funds with you for my/our margin/pay-in/other future obligation(s) at 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 and securities 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.

Yours faithfully,



Date: _____

MOBILE/EMAIL DECLARATION

VOLUNTARY

The entity _____ having PAN _____ do hereby declare that my mobile no. _____ and email id is _____ 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.





CLIENT DEFAULTER DECLARATION

VOLUNTARY

Date: _____

The entity _____ having PAN _____ do hereby declare that we have not been involved in any terrorist activities and we have not been declared a defaulter or my name is not appearing in any 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

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.

Sub: Acknowledgement

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 Authorization, Defaulter Declaration, & Mobile 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

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

FATCA/CRS DECLARATION (FOR NON-INDIVIDUAL)

Applicant name:				
PART I	A.	Is the account holder a Government body/International Organization/listed company on recognized stock exchange:	YES	NO
		<i>If "No", then proceed to point B.</i> <i>If "yes" please specify name of stock exchange, if you are listed company</i> _____ <i>and proceed to sign the declaration.</i>		
	B.	Is the account holder a (Entity/Financial Institution) tax resident of any country other than India :	YES	NO
		<i>If "yes", then please fill of FATCA/CRS Self certification Form.</i> <i>If "No", proceed to point C.</i>		
	C.	Is the account holder an Indian Financial Institution :	YES	NO
		<i>If "yes", please provide your Global Intermediary Identification Number (GIIN), if any</i> _____ <i>If "No", proceed to point D.</i>		
	D.	Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen:	YES	NO
		<i>If "yes", (then please fill FATCA/CRS self-certification form)).</i> <i>If "No", proceed to sign the declaration.</i>		

CUSTOMER DECLARATION:

Under penalty of perjury, I/We certify that:

1. The applicant is:
 - a. 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.;
 - b. 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)*
2. The applicant is an applicant taxable as a tax resident under the laws of country outside India.
3. I/We understand that Mathisys Quantcap LLP is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. I/We further understand that Mathisys Quantcap LLP is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/We shall seek advice from professional tax advisor for any tax questions.
4. I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
5. I/We agree that as may be required by domestic regulators/tax authorities, Mathisys Quantcap LLP may also be required to report, reportable details to the Central Board of Direct Taxes (CBDT) or close or suspend my account.
6. 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.

Name of Applicant:	
Signature 1:	Signature 3:
Signature 2:	(As per MOP)
Date:	DD-MM-YYYY

PART II	Self-Certification Form (Entity) for Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standards (CRS)
Section 1	Entity Information
Name of Entity:	
Customer ID (if existing):	Entity Constitution Type:

Entity Identification Type <i>(Please tick one)</i>				
Tax Identification Number (TIN)	US GIIN	Company Identification Number	Global Entity Identification Number (EIN)	Other (Please specify):
Entity Identification No.:				
Entity Identification Issuing Country:				
Country of Residence for tax purpose:				
Section 2	Classification on Non-Financial Entities			
I/We (on behalf of the entity) certify that the entity is:				
a. An entity incorporated and taxable in US (Specified US person):			YES	NO
If "Yes", please provide your U.S. Taxpayer Identification Number (TIN)				
b. An entity incorporated and taxable outside of India (other than US):			YES	NO
If "Yes", please provide your TIN or its functional equivalent Provide your TIN issuing country				
c. Please provide the following additional details if you are not a Specified US Person <i>(Please tick one)</i>				
FATCA/CRS classification for Non-financial entities (NFFE)				
a. Active NFFE		b. Passive NFFE without any controlling Person		
c. Passive NFFE with Controlling Person(s):			US	Others
d. Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus Mathisys Quantcap LLP is not required to do the reporting).				
Please provide GIIN Number:				
Section 3	Classification of financial institutions (including Banks)			
I/We (on behalf of the entity) certify that the entity is:				
a. An entity is a U.S. financial institution:			YES	NO
If "Yes", i. Please provide your U.S. Taxpayer Identification Number (TIN): ii. Please provide GIIN, if any:				
If "No", please tick one of the following boxes below:				
FATCA classification		Please provide the Global Intermediary Identification number (GIIN) or other information where		
i.	Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement ("IGA") Jurisdiction			
ii.	Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction			
iii.	Participating FFI in a Non-IGA Jurisdiction			
iv.	Non-reporting FI			
v.	Non-Participating FI			
vi.	Owner-Documented FI with specified US owners			

Section 4	Controlling person declaration
------------------	---------------------------------------

If you are classified as "Passive NFFE with Controlling Person(s)" or "Owner documented FFI" or "Specified US person", please provide the following details:

Name of controlling person	Correspondence Address	Country of Residence for tax purpose	TIN	TIN Issuing Country	Controlling Person Type

Details	Controlling Person 1	Controlling Person 2	Controlling Person 3	Controlling Person 4	Controlling Person 5
Identification Type					
Identification Number					
Occupation Type					
Occupation					
Birth Date					
Nationality					
Country of Birth					

Section 5	Declaration:
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- Under penalty of perjury, I/We certify that:
 - The number shown on this form is the correct taxpayer identification number of the applicant; and
 - 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; or
 - The applicant is an applicant taxable as a tax resident under the laws of country outside India.
- I/We understand that Mathisys Quantcap LLP is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. I/We further understand that Mathisys Quantcap LLP is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/We shall seek advice from professional tax advisor for any tax questions.
- I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- I/We agree that as may be required by domestic regulators/tax authorities, Mathisys Quantcap LLP may also be required to report, reportable details to the Central Board of Direct Taxes (CBDT) or close or suspend my account.
- 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.

I/We hereby confirm that details provided are accurate, correct and complete.

Signature:

Name and Company Seal (if applicable):

Date: DD-MM-YYYY

Know Your Client (KYC) Application Form (For Non- Individuals Only) <small>Please fill the form in ENGLISH and in BLOCK letters Fields marked * are mandatory Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also</small>	 CDSL VENTURES LIMITED <small>....Exploring New Horizons</small> <div style="border: 1px solid black; width: 100px; height: 70px; margin: 10px auto; display: flex; align-items: center; justify-content: center;"> Intermediary Logo </div>
Application Number: _____	
Application Type*: <input type="checkbox"/> New KYC <input type="checkbox"/> Modification KYC	
1. Entity Details (please refer guidelines)	
PAN* _____ Please enclose a duly attested copy of your PAN Card Name* (same as ID proof) _____ Date of Incorporation* _____ Place of Incorporation* _____ Date of Commencement* _____ Registration Number* _____ Entity Type* Please Tick (✓) <div style="display: flex; flex-wrap: wrap; padding: 5px;"> <div style="width: 25%;"><input type="checkbox"/> Private Ltd. Co.</div> <div style="width: 25%;"><input type="checkbox"/> Public Ltd. Co.</div> <div style="width: 25%;"><input type="checkbox"/> Body Corporate</div> <div style="width: 25%;"><input type="checkbox"/> Partnership</div> <div style="width: 25%;"><input type="checkbox"/> Trust/Charity/NGO</div> <div style="width: 25%;"><input type="checkbox"/> HUF</div> <div style="width: 25%;"><input type="checkbox"/> FPI Category I</div> <div style="width: 25%;"><input type="checkbox"/> FPI Category II</div> <div style="width: 25%;"><input type="checkbox"/> AOP</div> <div style="width: 25%;"><input type="checkbox"/> Bank</div> <div style="width: 25%;"><input type="checkbox"/> Government Body</div> <div style="width: 25%;"><input type="checkbox"/> Defence Establishment</div> <div style="width: 25%;"><input type="checkbox"/> Body of Individuals</div> <div style="width: 25%;"><input type="checkbox"/> Society</div> <div style="width: 25%;"><input type="checkbox"/> LLP</div> <div style="width: 25%;"><input type="checkbox"/> Non-Government Organization</div> <div style="width: 25%;"><input type="checkbox"/> Others _____</div> </div>	
2. Proof of Identity ⁺ (please refer the guidelines)	
<div style="display: flex; flex-wrap: wrap;"> <div style="width: 50%;"><input type="checkbox"/> Officially Valid Document(s) in respect of person authorized to transact</div> <div style="width: 50%;"><input type="checkbox"/> Certificate of Incorporation/Formation _____</div> <div style="width: 50%;"><input type="checkbox"/> Registration Certificate _____</div> <div style="width: 33%;"><input type="checkbox"/> Memorandum of Articles and Association</div> <div style="width: 33%;"><input type="checkbox"/> Partnership Deed</div> <div style="width: 33%;"><input type="checkbox"/> Trust Deed</div> <div style="width: 33%;"><input type="checkbox"/> Board Resolution</div> <div style="width: 66%;"><input type="checkbox"/> Power of attorney granted to its manager, office, employees to transact on its behalf</div> <div style="width: 50%;"><input type="checkbox"/> Activity Proof –1⁺ (For Sole Proprietorship Only)</div> <div style="width: 50%;"><input type="checkbox"/> Activity Proof –2⁺ (For Sole Proprietorship Only)</div> </div>	
3. Address Details ⁺ (please refer the guidelines)	
A. Registered Address* Line 1* _____ Line 2 _____ Line3 _____ City/Town/Village* _____ District* _____ Pin Code* _____ State* _____ Country* _____	
B. Correspondence/Local Address in India (if different from above)* Line 1* _____ Line 2 _____ Line3 _____ City/Town/Village* _____ District* _____ Pin Code* _____ State* _____ Country* _____	
	Applicant Digital Signature (DSC)

Proof of Address* (attested copy of any one POA to be submitted—"Not more than 3 months old)

<input type="checkbox"/> Certificate of Incorporation/Formation	<input type="checkbox"/> Registration Certificate	<input type="checkbox"/> Other document _____
<input type="checkbox"/> Latest Telephone Bill* (Landline only)	<input type="checkbox"/> Latest Electricity Bill*	<input type="checkbox"/> Latest Bank Account Statement*
<input type="checkbox"/> Registered Lease/ Sale Agreement of Office Premises	Validity/Expiry Date of POA (Expiry Date) ____	
<input type="checkbox"/> Any other proof of address document (as listed overleaf) _____		

4. Contact Details

Email ID _____	Mobile No. _____
Email ID _____	Mobile No. _____
Tel (off) _____	Fax _____

5. Annexures SubmittedNumber of Related Persons - **6. Remarks / Additional Information****7. Applicant 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.

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

DATE: ____ (DD-MM-YYYY)

PLACE: _____

Applicant Digital Signature (DSC)

Applicant Wet Signature

8. For Office Use Only

KYC carried out by*	Intermediary Details*
KYC Date _____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	<input type="checkbox"/> Self certified document copies received (Originals Verified) <input type="checkbox"/> True Copies of documents received (Attested) AMC / Intermediary Name OR Code: _____
Employee Signature and Stamp	Employee Signature and Stamp

— This space is intentionally left blank — This space is intentionally left blank — This space is intentionally left blank — This space is intentionally left blank —

Know Your Client (KYC)**Annexure (For Non- Individuals Only)**

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

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

**CDSL VENTURES LIMITED**

....Exploring New Horizons

Intermediary
Logo

Application Number:

Application Type*: ☐ New KYC ☐ Modification KYC**1. Identity Details of Related Person** (please refer guidelines overleaf)

PAN*

Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof)

Maiden Name* (if any)

Fathers/Spouse's Name*

Date of Birth*

Gender*

☐ Male☐ Female☐ Transgender

Nationality*

☐ Indian☐ Other

Related Person Type*

☐ Director☐ Promoter☐ Karta☐ Trustee☐ Partner☐ Court Appointed Official Proprietor☐ Beneficiary☐ Authorized Signatory☐ Beneficial Owner☐ Power of Attorney Holder☐ Others (please specify)

DIN: (mandatory if the related person is Director)

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

☐ A — Aadhaar Card

XXXX XXXX

☐ B — Passport Number

(Expiry Date)

☐ C — Voter ID Card☐ D — Driving License

(Expiry Date)

☐ E — NREGA Job Card☐ F — NPR☐ Z — Others

(any document notified by Central Government)

Identification Number

2. Address Details* (please refer guidelines overleaf)**A. Correspondence/ Local Address***

Line 1*

Line 2

Line 3

City/Town/Village*

District*

Pin Code*

State*

Country*

Address Type*

☐ Residential/Business☐ Residential☐ Business☐ Registered Office☐ Unspecified

Applicant e-SIGN

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____

Line 2 _____

Line3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

☐ A — Aadhaar Card XXXX XXXX ____

☐ B — Passport Number _____ (Expiry Date) ____

☐ C — Voter ID Card _____

☐ D — Driving License _____ (Expiry Date) ____

☐ E — NREGA Job Card _____

☐ F — NPR Letter _____

☐ Z—Others _____ (any document notified by Central Government)

Identification Number _____

3. Contact Details

Email ID _____

Mobile No. _____

Tel (Off) _____ Tel (Res) _____

4. Applicant 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.

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

DATE: ____ (DD-MM-YYYY)

PLACE: _____

Applicant e-SIGN

Applicant Wet Signature

5. For Office Use Only

KYC carried out by*

Intermediary Details*

KYC Date ____

Emp. Name _____

Emp. Code _____

Emp. Designation _____

☐ Self certified document copies received (OVD)☐ True Copies of documents received (Attested)

Employee Signature and Stamp

Institution Name and Stamp

Instructions/Guidelines for filling Individual KYC Application Form

A. General Instructions:

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 below list 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 addresses 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/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in 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., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

B. Proof of Identity (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government 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):

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. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
3. Identity card with applicant's photograph and address issued by any of the following: Central/ State Government 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.
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. Proof of address in name of spouse may be accepted.
6. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
7. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card

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

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. 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. Online Mode Processing of KYC:

1. ONLINE KYC
 - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
 - The documents should be digitally signed using DSC.
 - Intermediary attestation on documents (OSV) is exempted.

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Type of Entity	Additional Documents Required over and above PAN, POI and POA
Corporate	<ul style="list-style-type: none"> • Copy of Balance Sheet for the last to financial years (to be submitted every year). • Copy of latest share-holding pattern including the list of all those holding control, either directly or indirectly , in the company in terms of SEBI takeover regulations, duly certified by the company secretary/ whole time director/ MD (to be submitter every year). • Photograph, POI, POA, PAN and DIN number of the whole time Director/ 2 directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control—either directly or indirectly. • Copy of Memorandum and Articles of Association and Certificate of Incorporation. • Copy of Board Resolution for Investment in security markets. • Authorized signatories list with specimen signatures. • Shareholding pattern.
Partnership Firm	<ul style="list-style-type: none"> • Copy of Balance Sheet for the last to financial years (to be submitted every year). • Certificate of Registration (for registered partnership firms only). • Copy of Partnership Deed. • Authorized signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners. • Shareholding pattern.
Trust	<ul style="list-style-type: none"> • Copy of Balance Sheet for the last to financial years (to be submitted every year). • Certificate of Registration (for registered Trusts only). • Copy of Trust Deed. • List of Trustees certified by Managing Trustees/ CA • Photograph, POI, POA, PAN of Trutees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of Declaration of HUF or List of Co-Parceners. • Bank Passbook / Bank statement in the name of HUF. • Photograph, POI, POA, PAN of KARTA.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years • Authorized signatories list with specimen signatures.
Unincorporated Association or a Body of Individuals	<ul style="list-style-type: none"> • Proof of existence or Constitution document. • Resolution of Managing Body and power od Attorney granted to transact business on its behalf.
Army/Government Bodies	<ul style="list-style-type: none"> • Copy of Constitution/Registration or Annual report/Balance Sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Army/Government Bodies	<ul style="list-style-type: none"> • Self certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Society Registration Act. • List of managing committee members. • Committee Resolution for persons authorized to act as authorised signatories with specimen signatures. • True copy of society rules and by-laws certified by Chairman/Secretary.
FPI Category I	<ul style="list-style-type: none"> • FPI Certificate • Constitution Documents • Copy of Board Resolution (optional) • Shareholding pattern and Ultimate Beneficiary Owners List (UBO) • Authorized signatories list with specimen signatures.
FPI Category II	<ul style="list-style-type: none"> • FPI Certificate • Constitution Documents • Copy of Board Resolution • Shareholding pattern and Ultimate Beneficiary Owners List (UBO) with UBO proof of identity • Authorized signatories list with specimen signatures.

**Important Instructions:**

- A) Fields marked with ** are mandatory fields.
 B) Tick '✓' wherever applicable.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please fill the form in English and in BLOCK letters.
 E) KYC number of applicant is mandatory for update application.
 F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 G) List of two character ISO 3166 country codes is available at the end.
 H) Please read section wise detailed guidelines / instructions at the end.
 I) 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)

☐ **1. ENTITY DETAILS*** (Please refer instruction **A** at the end)

☐ Name*

Entity Constitution Type* ☐ Others (Specify) (Please refer instruction B at the end)

Date of Incorporation / Formation* DD - MM - YY YY Date of Commencement of Business DD - MM - YY YY

Place of Incorporation / Formation* Country of Incorporation / Formation* TIN or Equivalent Issuing Country

PAN * ☐ Form 60 furnished

TIN / GST Registration Number

☐ **2. PROOF OF IDENTITY (Pol)*** (Please refer instruction **B** at the end)

☐ Officially valid document(s) in respect of person authorised to transact

☐ Certificate of Incorporation / Formation ☐ Registration Certificate Regn Certificate No.

☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed

☐ Resolution of Board / Managing Committee ☐ Power of attorney granted to its manager, officers or employees to transact on its behalf

☐ Activity Proof - 1 (For Sole Proprietorship Only) ☐ Activity Proof - 2 (For Sole Proprietorship Only)

☐ **3. ADDRESS*** (Please see instruction **C** at the end)

3.1 Registered Office Address / Place of Business*

Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document

Line 1*

Line 2

Line 3 City / Town / Village*

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

3.2 Local Address in India (If different from Above)*

Line 1*

Line 2

Line 3 City / Town / Village*

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

☐ **4. CONTACT DETAILS** (All communications will be sent to Mobile number/ Email-ID provided" may be used) (Please refer instruction **D** at the end)

Tel. (Off) - FAX -

Mobile - Email ID

Mobile - Email ID

☐ **5. NUMBER OF RELATED PERSONS** (Please refer instruction **E** at the end)

7. APPLICANT DECLARATION (Please refer Instruction **G** at the end)

- Date : DD-MM-YYYY Place:

Signature / Thumb Impression of Authorised Person(s)

8. ATTESTATION / FOR OFFICE USE ONLY

KYC VERIFICATION CARRIED OUT BY

INSTITUTION DETAILS

[illegible]

Code _____