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Form No.

# Client Registration Form



## GANESH STOCKINVEST PVT. LTD.

Member : NSE & BSE  
Depository Participant : CDSL

• INDIVIDUAL • HUF • CORPORATE • PARTNERSHIP FIRM • OTHERS

CLIENT CODE	BRANCH
CLIENT NAME	AGREEMENT NO.
DP ID    12087700	CLIENT ID

**DOCUMENTS REQUIRED AS PER SEBI CIRCULAR CIR/MIRSD/16/2011 DATED 22-08-2011**  
**Read with SEBI Circular bearing Reference No. MIRSTD/SE/CIR-19/2009 dated 3-12-2009**

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Name of Stock Broker / Depository Participant :- GANESH STOCKINVEST PVT. LTD.

**Registered Office:** 208-209, Park N Shop L-Block (Mkt.) DLF Phase II Gurgaon HR 122001

**Corporate Office :** 122, Vinoba Puri, Lajpat Nagar II, New Delhi-110024, Tel.: 011-46740000 • Fax : 011-46740030 • E-mail : ganeshstock@ganeshstock.com

**Compliance Officer & MD Details :**

**NSE, BSE & DP:** Mr. Saroj Kumar Mishra

**MD-** Mr. Prakash Chand Jalan

Ph.: 011-46740307 • Email id: compliance@ganeshstock.com

Ph.: 011-46740000 • Email id: pcjalan@ganeshstock.com

**TO BE FILLED BY INTERMEDIARY / EMPLOYEE**

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.

For **Ganesh Stockinvest Pvt. Ltd.**

Authorised Signatory / Director

Date:

**INTRODUCER DETAILS**

Name of the Introducer:

Status of the Introducer:

Sub-broker  Remisier  Authorized Person  Existing Client  Others:  (Please Specify Others)

Address of the Introducer :

Employee Code :  Employee E-mail :

Mobile :  Phone(with STD Code) :  -

Signature of the  
Introducer :



**EXCHANGE-WISE INVESTOR GRIEVANCE  
CELL**

Exchange	Web Address	Contact No.	Email - Id
NSE	www.nseindia.com	1800 266 0050	ignse@nse.co.in
BSE	www.bseindia.com	022-22721233	is@bseindia.com/iscdelhi@bseindia.com

Depository	Web Address	Contact No.	Email - Id
CDSL	www.cdslindia.com	022-22723333	complaints@cdslindia.com

For any grievance/dispute please contact Stock Broker : Ganesh Stockinvest Pvt. Ltd. at the above address or email id-[igc@ganeshstock.com](mailto:igc@ganeshstock.com) and Phone No. +91-11-46740000. In case not satisfied with the response, you can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback of assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575

**Equity SEBI Regn. No.:** (NSE, BSE) INZ000191431

DP SEBI Regn. No. IN-DP-396-2019 • DP-ID : 12087700

**ACKNOWLEDGEMENT TO GANESH STOCKINVEST PVT. LTD. FROM CLIENT**

To,  
**Ganesh Stockinvest Pvt. Ltd.**  
122, Vinoba Puri, Lajpat Nagar II,  
New Delhi-110024

Date : \_\_\_\_\_

I/we hereby confirm that I/we have read, understood, agreed and received a duly executed copy of the:-

- Account Opening Form
- Trading Account Related Details & Tariff Sheet (Trading & Demat Account)
- Rights and Obligations of Stock Brokers, Sub-Brokers and Clients
- Rights and Obligations of Beneficiary owner and Depository Participant as prescribe by SEBI and Depository
- Internet and Wireless technology based trading facility provided by Stock Brokers to Client
- Risk and Disclosure document for capital market and derivative segments
- Guidance note-Do's and Don't for trading on the Exchange(s) for Investors
- Policies and procedures
- Most important Terms and Conditions (MITC)
- Terms & Conditions as Mutually agreed by me & FATCA & CRS Terms & Conditions
- Other disclosure/documents as agreed by me specifically in voluntary segment.
- Copy of DDPI (Demat Debit and Pledge Instruction)

I/we am/are abiding by these terms & conditions. I/we reconfirm that I/we and stock broker shall refer any claim and/or disputes with respect to deposits, margin money, etc, to arbitration as per the Rules, Byelaws, and Regulation of the Exchanges where the trade is executed and circulars/notices issued there under as may be in force from time to time. I/We reconfirm that I/we and Stock Broker shall refer all claims, differences or disputes between us arising out of or in relation to dealings, contracts and transaction made subject to the Bye-Laws, Rules and Regulations of the Exchange or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions and contracts have entered into to arbitration in accordance with the provisions of these Byelaws and Regulations.

Thanks and Best regards,

Client Code : \_\_\_\_\_

For \_\_\_\_\_

Sign here:(1) 

For **Ganesh Stockinvest Pvt. Ltd.**

Authorised Signatory / Director

\_\_\_\_\_  
Authorised Signatory Name

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

Please Submit the KYC Documents on A4 Size Paper Only.

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

Please fill the form in ENGLISH & BLOCK letters  
Fields marked\* are mandatory  
Fields marked\* are pertaining to CKYC and mandatory only if processing CKYC also.



**ANESH**  
STOCKINVEST PVT. LTD.

Application Number :

Application Type :  New KYC  Modification KYC

**KYC Mode\***

Normal  EKYC OTP  EKYC Biometric  Online KYC  Offline EKYC  Digilocker

**1. IDENTITY DETAILS** (Please refer guidelines overleaf)

PAN\* \_\_\_\_\_ Please enclose a duly attached copy of your PAN Card

Name\* (same as ID proof) \_\_\_\_\_

Maiden Name\* (if any) \_\_\_\_\_

Father's/Spouse's Name\* \_\_\_\_\_

Date of Birth\* \_\_\_\_\_

Gender\*  Male  Female  Transgender

Marital Status\*  Single  Married

Occupation\*  Private Sector Service  Public Sector  Govt. Sector

(Please tick ✓)

Business  Professional  Agriculturist  Retired

Housewife  Student  Others \_\_\_\_\_

Nationality\*  Indian  Others \_\_\_\_\_

Residential Status\*  Resident Individual  Non Resident Indian

(Please tick ✓)

Foreign National  Person of Indian Origin\*

(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not KRA KYC.  
Select NRI or Foreign National based on Nationality of the Individual)



Cross Signature across photograph

**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 documents 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\* \_\_\_\_\_

Line 3\* \_\_\_\_\_

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 \_\_\_\_\_ (Expiry Date) \_\_\_\_\_
  - D - Driving License \_\_\_\_\_ (Expiry Date) \_\_\_\_\_
  - E - NREGA Job Card \_\_\_\_\_
  - F - NPR \_\_\_\_\_ (any documents notified by Central Government)
  - Z - Others \_\_\_\_\_ (any documents notified by Central Government)
- Identification Number \_\_\_\_\_

**3. Contact Details (in CAPITAL)**

E-mail ID\* \_\_\_\_\_

Mobile No.\* \_\_\_\_\_


Tel. (Off) \_\_\_\_\_ Tel. (Resi.) \_\_\_\_\_

**4. APPLICANT DECLARATION**

- I hereby declare that the KYC details furnished by me are true and correct to the best of my knowledge and belief and I under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.
- I am also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I hereby consent to sharing my masked Aadhaar card 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 have a business relationship for KYC purposes only.

**Applicant e-SIGN**

**Applicant Wet Signature**

(2) 

DATE : \_\_\_\_\_ (DD-MM-YYYY)

PLACE : \_\_\_\_\_

**5. FOR OFFICE USE ONLY**

In-Person Verification (IPV) carried out by\*

IPV Date \_\_\_\_\_

Emp. Name \_\_\_\_\_

Emp. Code \_\_\_\_\_

Emp. Designation \_\_\_\_\_

Employee Signature & Stamp

Intermediary Details\*

Self certified document copies received (OVD)

True Copies of documents received (Attested)

AMC / Intermediary Name :

Institution Name & Stamp



**ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT (INDIVIDUAL)**

DP ID : 12087700

DP ID	1	2	0	8	7	7	0	0	Client ID								
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

I/We request you to open a depository account in my/our name as per following details :

(Please fill all the details in CAPITAL/BLOCK LETTERS only)

Date	D	D	M	M	Y	Y	Y	Y
------	---	---	---	---	---	---	---	---

**A. TYPE OF ACCOUNT** (Please tick whichever is applicable)

<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual HUF/AOP <input type="checkbox"/> Individual Margin Trading A/c (Mantra)	<input type="checkbox"/> Individual Director <input type="checkbox"/> Individual Promoter	<input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Minor <input type="checkbox"/> Others (Specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> Others (Specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National-Depository Receipts	<input type="checkbox"/> Others (Specify) _____	
<input type="checkbox"/> Sub Type	<input type="checkbox"/> Stock Broker-Client	<input type="checkbox"/> Stock Broker-Proprietary	<input type="checkbox"/> Stock Broker-Collateral

**B. HOLDERS DETAILS**

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
Date of Birth	-	-	-
UID / Aadhaar			
Brief Details			

<b>C.</b> Name _____	PAN								
In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.									

**D. DETAILS OF GUARDIAN** (in case the account holder is minor)

Guardian's Name _____	PAN								
Relationship with the applicant _____	Date of birth								

I/We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be 'Yes')	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end. (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement (If not marked, the default option would be as per SEBI Regulation)	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I/We request you to send Electronic Transaction-cum-Holding Statement at the email Id _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic
I/We wish to receive dividend/interest directly in to my/our bank account as given below through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No

<b>Easi</b>	To register for easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	<input type="checkbox"/> Yes <input type="checkbox"/> No
-------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------

<b>Transactions Using Secured Texting Facility (TRUST)</b> Refer to Terms and Conditions Annexure B	I wish to avail the TRUST facility using the Mobile Number registered for SMS Alert Facility, I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No		
	I wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST.		
	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

**NOMINATION FORM - TRADING AND DEMAT ACCOUNTS**

(Annexure-A)

DATE	D	D	M	M	Y	Y	Y	Y	UCC								
DP ID									Client ID								

I/We wish to make a nomination. [As per details given below]

**NOMINATION DETAILS**

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me/us in the said beneficiary owner account in the event of my / our death.

Nomination can be made upto three nominees in the account.		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1	Name of the nominee(s) (Mr./Ms.)			
2	Share of each Nominee Equally <input type="checkbox"/> [If not equally, please specify percentage]	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.				
3	Relationship With the Applicant (If Any)			
4	Address of Nominee(s)			
	PIN Code			
5	Mobile/Telephone No. of Nominee(s)			
6	Email ID of Nominee(s)			
7	Nominee Identification details : [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature	Photograph of 1st nominee  <i>Signature of Nominee across photograph</i>	Photograph of 2nd nominee  <i>Signature of Nominee across photograph</i>	Photograph of 3rd nominee  <i>Signature of Nominee across photograph</i>
		Signature	Signature	Signature
	<input type="checkbox"/> PAN			
	<input type="checkbox"/> Aadhaar			
	<input type="checkbox"/> Saving Bank Account No.			
	<input type="checkbox"/> Proof of Identity			
	<input type="checkbox"/> Demat Account ID			

**Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:**

8	Date of Birth {in case of minor nominee(s)}	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y
9	Name of Guardian (Mr./Mrs.) {in case of minor nominee(s)}																								
10	Address of Guardian																								
	PIN Code																								
11	Mobile/Telephone No. of Guardian																								
12	Email ID of Guardian																								
13	Relationship of Guardian with Nominee																								
14	Guardian Identification details : [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature	Photograph of 1st Guardian  <i>Signature of Guardian across photograph</i>	Photograph of 2nd Guardian  <i>Signature of Guardian across photograph</i>	Photograph of 3rd Guardian  <i>Signature of Guardian across photograph</i>																					
		Signature	Signature	Signature																					



<input type="checkbox"/> PAN																						
<input type="checkbox"/> Aadhaar																						
<input type="checkbox"/> Saving Bank Account No.																						
<input type="checkbox"/> Proof of Identity																						
<input type="checkbox"/> Demat Account ID																						

\*Signature of Witness, alongwith name and address are required, if the account holder affixes thumb impression, instead of signature.

Notes:

- The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate, partnership firm and Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
- A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
- Only individual / natural person(s) can be a nominee(s). The Nominee(s) shall not be artificial person created/dressed by the law or by a fiction such as trust, society, body corporate, partnership firm, Hindu Undivided Family etc. A non-resident Indian can be a Nominee, subject to the exchange/depository controls in force, from time to time.
- Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
- Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
- The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate, partnership firm and Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
- On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
- Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
- On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
- Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for atg the documents.
- Savings bank account details shall only be considered if the account is maintained with the same participant.
- DP ID and client ID shall be provided where demat details is required to be provided.
- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- For receiving Statement of Account in electronic form:
  - Client must ensure the confidentiality of the password of the email account.
  - Client must promptly inform the Participant if the email address has changed.
  - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- Strike off whichever is not applicable.

**DECLARATION FORM FOR OPTING OUT OF NOMINATION** (Annexure-B)

DATE	D	D	M	M	Y	Y	Y	Y	UCC											
------	---	---	---	---	---	---	---	---	-----	--	--	--	--	--	--	--	--	--	--	--

DP ID									Client ID												
-------	--	--	--	--	--	--	--	--	-----------	--	--	--	--	--	--	--	--	--	--	--	--

Sole/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 / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

**DECLARATION**

I/we acknowledge the receipt of copy of document, "Rights and Obligations of the Beneficial Owner and Depository Participant". The rules and regulations of the Depository and Depository Participants pertaining to an account are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting. I am/we are aware that I/we may be held liable for it. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.

	Sole / First Holder / Guardian (Mr./Ms.) (in case of Minor)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
Name			
Signatures	(3)	(1)	(1)

**Know Your Client (KYC)  
Application Form (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.



**GANESH**  
STOCKINVEST PVT. LTD.

**Application Number :** \_\_\_\_\_

**Application Type\* :**  **New KYC**  **Modification KYC**

**1. ENTITY DETAILS** (Please refer guidelines)

PAN\* \_\_\_\_\_ Please enclose a duly attached 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 ✓)

- |                                                      |                                          |                                          |                                                |
|------------------------------------------------------|------------------------------------------|------------------------------------------|------------------------------------------------|
| <input type="checkbox"/> Private Ltd. Co.            | <input type="checkbox"/> Public Ltd. Co. | <input type="checkbox"/> Body Corporate  | <input type="checkbox"/> Partnership           |
| <input type="checkbox"/> Trust/Charity/NGO           | <input type="checkbox"/> HUF             | <input type="checkbox"/> FPI Category I  | <input type="checkbox"/> FPI Category II       |
| <input type="checkbox"/> AOP                         | <input type="checkbox"/> Bank            | <input type="checkbox"/> Government Body | <input type="checkbox"/> Defence Establishment |
| <input type="checkbox"/> Body of Individuals         | <input type="checkbox"/> Society         | <input type="checkbox"/> LLP             | <input type="checkbox"/> Partnership           |
| <input type="checkbox"/> Non-Government Organization |                                          | <input type="checkbox"/> Others _____    |                                                |

**2. PROOF OF IDENTITY\*** (Please refer the guidelines)

- Officially Valid Document(s) in respect of person authorized to transact
- Certificate of Incorporation/Formation \_\_\_\_\_  Registration Certificate \_\_\_\_\_
- Memorandum of Articles and Association  Partnership Deed  Trust Deed
- Board Resolution  Power of attorney granted to its manager, office, employees to transact on its behalf
- Activity Proof-1\* (For Sole Proprietorship Only)  Activity Proof-2\* (For Sole Proprietorship Only)

**3. ADDRESS DETAILS\*** (Please refer guidelines)

**A. Registered Address\***

Line 1\* \_\_\_\_\_

Line 2\* \_\_\_\_\_

Line 3\* \_\_\_\_\_

City/Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

**B. Correspondence/Local Address in India** (If different from above)\*

Line 1\* \_\_\_\_\_

Line 2\* \_\_\_\_\_

Line 3\* \_\_\_\_\_

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)

- Certificate of Incorporation/Formation
- Registration Certificate
- Other Document
- Latest Telephone Bill\* (Landline only)
- Latest Electricity Bill\*
- Latest Bank Account Statement\*
- Registered Lease/Sale Agreement of Office Premises
- Validity/Expiry Date of POA** (Expiry Date) \_\_\_\_\_
- Any other proof of address document (as listed overleaf) \_\_\_\_\_

**4. Contact Details**

E-mail ID\* \_\_\_\_\_ Mobile No.\* \_\_\_\_\_  
E-mail ID\* \_\_\_\_\_ Mobile No.\* \_\_\_\_\_  
Tel. (Off) \_\_\_\_\_ Fax \_\_\_\_\_

**5. Annexures Submitted**

Number of Related Person

**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/E-mail address.

**Applicant Digital Signature (DSC)**

**Applicant Wet Signature**

(4)

DATE : \_\_\_\_\_ (DD-MM-YYYY)

PLACE : \_\_\_\_\_

**8. FOR OFFICE USE ONLY**

KYC carried out by\*

KYC Date \_\_\_\_\_

Emp. Name \_\_\_\_\_

Emp. Code \_\_\_\_\_

Emp. Designation \_\_\_\_\_

Employee Signature & Stamp

Intermediary Details\*

Self certified document copies received (Originals Verified)

True Copies of documents received (Attested)

AMC / Intermediary Name of Code:

Institution Name & Stamp

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

Please fill the form in ENGLISH & BLOCK letters  
Fields marked\* are mandatory  
Fields marked\* are pertaining to CKYC and mandatory only if processing CKYC also.



**ANESH**  
STOCKINVEST PVT. LTD.

Application Number :

Application Type\* :  New KYC  Modification KYC

**1. IDENTITY DETAILS OF RELATED PERSON** (Please refer guidelines overleaf)

PAN\* \_\_\_\_\_ Please enclose a duly attached copy of your PAN Card

Name\* (same as ID proof) \_\_\_\_\_

Maiden Name\* (if any) \_\_\_\_\_

Father's/Spouse's Name\* \_\_\_\_\_

Date of Birth\* \_\_\_\_\_

Gender\*  Male  Female  Transgender

Marital Status\*  Single  Married

Nationality\*  Indian  Others \_\_\_\_\_

Related Person Type\*  Director  Promoter  Karta  Trustee  Partner

(Please tick ✓)  Court Appointed Official Proprietor  Beneficiary

Authorized Signatory  Beneficial Owner  Power of Attorney Holder

Others \_\_\_\_\_ (Pl. specify)

DIN : \_\_\_\_\_ (mandatory if the related person is Director)

Recent passport size  
Applicant Photo

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 \_\_\_\_\_ (Expiry Date) \_\_\_\_\_

D - Driving License \_\_\_\_\_ (Expiry Date) \_\_\_\_\_

E - NREGA Job Card \_\_\_\_\_

F - NPR \_\_\_\_\_

Z - Others \_\_\_\_\_ (any documents 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\* \_\_\_\_\_

Line 3\* \_\_\_\_\_

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 \_\_\_\_\_ (Expiry Date) \_\_\_\_\_
  - D - Driving License \_\_\_\_\_ (Expiry Date) \_\_\_\_\_
  - E - NREGA Job Card \_\_\_\_\_
  - F - NPR \_\_\_\_\_
  - Z - Others \_\_\_\_\_ (any documents notified by Central Government)
- Identification Number \_\_\_\_\_

**3. Contact Details**

E-mail ID\* \_\_\_\_\_

Mobile No.\* \_\_\_\_\_


Tel. (Off) \_\_\_\_\_ Tel. (Resi.) \_\_\_\_\_

**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/E-mail address.

Applicant e-SIGN

Applicant Wet Signature

(5) 

DATE : \_\_\_\_\_ (DD-MM-YYYY)

PLACE : \_\_\_\_\_

**5. FOR OFFICE USE ONLY**

KYC carried out by\*

KYC Date \_\_\_\_\_

Emp. Name \_\_\_\_\_

Emp. Code \_\_\_\_\_

Emp. Designation \_\_\_\_\_

Employee Signature & Stamp

Intermediary Details\*

Self certified document copies received (OVD)

True Copies of documents received (Attested)

AMC / Intermediary Name :

\_\_\_\_\_

Institution Name & Stamp

## ANNEXURE

Name of the Applicant \_\_\_\_\_ PAN of the Applicant \_\_\_\_\_

**Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and Wholetime/Other Directors :**

1. Name \_\_\_\_\_

Date of Birth 

d	d
---	---

 / 

m	m
---	---

 / 

y	y	y	y
---	---	---	---

 Status \_\_\_\_\_ PAN \_\_\_\_\_

Residential Address \_\_\_\_\_

DIN \_\_\_\_\_ UID \_\_\_\_\_ DPIN \_\_\_\_\_

Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:

Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)  Not a Politically Exposed Person (PEP)  Not Related to a Politically Exposed Person (PEP)

2. Name \_\_\_\_\_

Date of Birth 

d	d
---	---

 / 

m	m
---	---

 / 

y	y	y	y
---	---	---	---

 Status \_\_\_\_\_ PAN \_\_\_\_\_

Residential Address \_\_\_\_\_

DIN \_\_\_\_\_ UID \_\_\_\_\_ DPIN \_\_\_\_\_

Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:

Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)  Not a Politically Exposed Person (PEP)  Not Related to a Politically Exposed Person (PEP)

3. Name \_\_\_\_\_

Date of Birth 

d	d
---	---

 / 

m	m
---	---

 / 

y	y	y	y
---	---	---	---

 Status \_\_\_\_\_ PAN \_\_\_\_\_

Residential Address \_\_\_\_\_

DIN \_\_\_\_\_ UID \_\_\_\_\_ DPIN \_\_\_\_\_

Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:

Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)  Not a Politically Exposed Person (PEP)  Not Related to a Politically Exposed Person (PEP)

4. Name \_\_\_\_\_

Date of Birth 

d	d
---	---

 / 

m	m
---	---

 / 

y	y	y	y
---	---	---	---

 Status \_\_\_\_\_ PAN \_\_\_\_\_

Residential Address \_\_\_\_\_

DIN \_\_\_\_\_ UID \_\_\_\_\_ DPIN \_\_\_\_\_

Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:

Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)  Not a Politically Exposed Person (PEP)  Not Related to a Politically Exposed Person (PEP)

5. Name \_\_\_\_\_

Date of Birth 

d	d
---	---

 / 

m	m
---	---

 / 

y	y	y	y
---	---	---	---

 Status \_\_\_\_\_ PAN \_\_\_\_\_

Residential Address \_\_\_\_\_

DIN \_\_\_\_\_ UID \_\_\_\_\_ DPIN \_\_\_\_\_

Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:

Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)  Not a Politically Exposed Person (PEP)  Not Related to a Politically Exposed Person (PEP)

Date 

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

Name & Signature of the Authorised Signatory(ies)

**ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT (NON-INDIVIDUAL)**

DP ID : 12087700

DP ID	1	2	0	8	7	7	0	0	Client ID								
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

I/We request you to open a depository account in my/our name as per following details :

(Please fill all the details in CAPITAL/BLOCK LETTERS only)

Date	D	D	M	M	Y	Y	Y	Y
------	---	---	---	---	---	---	---	---

TYPE OF ACCOUNT (Please tick whichever is applicable)

Status	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Banks	<input type="checkbox"/> Trust	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> OCB	<input type="checkbox"/> FII	<input type="checkbox"/> CM	<input type="checkbox"/> FI				
	<input type="checkbox"/> Clearing House	<input type="checkbox"/> Others (Specify) _____										
Sub-Status	<input type="checkbox"/> Client <input type="checkbox"/> Proprietary <input type="checkbox"/> Collateral <input type="checkbox"/> Pool account <input type="checkbox"/> Settlement Account											
SEBI Registration No. (if applicable)				SEBI Registration Date	D	D	M	M	Y	Y	Y	Y
RBI Registration No. (if applicable)				RBI Approval Date	D	D	M	M	Y	Y	Y	Y
ROC Registration No. (if applicable)				ROC Registration Date	D	D	M	M	Y	Y	Y	Y
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____											

**HOLDERS DETAILS**

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
Date of Incorporation			
Brief Details			

Name\* \_\_\_\_\_

\* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

I/We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be 'Yes')	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I/We request you to send Electronic Transaction-cum-Holding Statement at the email Id _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end. (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement (If not marked, the default option would be as per SEBI Regulation)	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic
Do you wish to receive dividend/interest directly in to your bank account given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No

SMS Alert Facility Refer to Terms & Conditions given as <b>Annexure A</b>	MOBILE No.: +91-..... [Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	<input type="checkbox"/> Yes <input type="checkbox"/> No
Easi	To register for easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	<input type="checkbox"/> Yes <input type="checkbox"/> No

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

	Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signatures	(6)	(2)	(2)

(Signatures should be preferably in black ink)

(In case of more authorised signatories, please add annexure)

**DECLARATION FOR MOBILE NUMBER & E-MAIL ID**

To,  
**Ganesh Stockinvest Pvt. Ltd.**  
122, Vinoba Puri, Lajpat Nagar II,  
New Delhi-110024

Date : \_\_\_\_\_

Dear Sir,

I \_\_\_\_\_ having PAN No. \_\_\_\_\_

do hereby declare that my mobile no. is \_\_\_\_\_

& my e-mail id is \_\_\_\_\_.

Further I authorize Ganesh Stockinvest Private Limited/Exchange/Other Regulatory authority that the same may be used for giving me any information/alert/e-mail/call.

I further declare that the Mobile Number and Email Id as mentioned above are of Self/Relative.

Mobile Number

Self  Spouse  Dependent Children  Dependent Parents

Name and PAN Number of Relative Mr./Mrs./Ms. \_\_\_\_\_

Email ID

Self  Spouse  Dependent Children  Dependent Parents

Name and PAN Number of Relative Mr./Mrs./Ms. \_\_\_\_\_

I further declare the above mentioned statement is true and correct.

Sign here : (7)



Client Name : \_\_\_\_\_

Client Code : \_\_\_\_\_ Date ; \_\_\_\_\_

(Note : To be signed by person himself/herself not to be signed by his/her attorney/Authorised Person\_



**TRADING & DEMAT ACCOUNT RELATED DETAILS**  
For both Individuals & Non-individuals

**A. BANK ACCOUNT(S) DETAILS**

**I. PRIMARY BANK ACCOUNT DETAIL FOR TRADING & DEMAT ACCOUNT**

Bank Name	Bank Address	Bank Account No.	Account Type	MICR No.	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> NRI <input type="checkbox"/> NRO		

**II. SECONDARY BANK ACCOUNT DETAIL FOR TRADING**

Bank Name	Bank Address	Bank Account No.	Account Type	MICR No.	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> NRI <input type="checkbox"/> NRO		

**B. DEPOSITORY ACCOUNT(S) DETAILS**

Depository Participant Name	Depository Name	Beneficiary Name	DP ID	Beneficiary ID (BO ID)

I authorize you to transfer the shares purchased by me to the above mentioned demat beneficiary account.

**C. TRADING PREFERENCE**

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

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

If you do not wish to trade in any of segments / Mutual Fund, please mention here

\_\_\_\_\_

- Whether you wish to receive Electronic Contract Note (ECN) :  Yes  No
- Whether you wish to receive your executed KYC  Electronically  Physically
- Whether you wish to avail of the facility of internet trading/ wireless technology :  Yes  No (if yes, then please specify)
- Application Base Trading  Web Base Trading  Securities Trading using Wireless Technology  NOW
- Number of Years of Investment / Trading Experience : \_\_\_\_\_
- Any other information : \_\_\_\_\_

## E. OTHER DETAILS

- **Gross Annual Income Details** : Income Range per annum :  Below Rs. 1 Lac  Rs. 1 Lac to 5 Lac  
(please tick ✓ )  Rs. 5 Lac to 10 Lac  Rs. 10 Lac to 25 Lac  Rs. 25 Lac to 1 Crore  >1 Crore
- **Net Worth** (Net worth should not be older than 1 year) **Amount Rs**.....  
**as on (date)**
- **Is the entity involved/providing any of the following services**  Yes  No  
- For Foreign Exchange/Money Changer Services  Yes  No - Gaming/Gambling/Lottery Services (e.g. casinos, betting syndicates)  
- Money Lending / Pawning  Yes  No
- **GST No.** \_\_\_\_\_ **Name** \_\_\_\_\_ (\*attach GST certificate copy)
- **Please tick, if applicable** (Note : In case of Non-individuals please tick, if applicable for any of your authorised signatories/  
Promoters/Partners/Karta/Trustees/whole time directors) :  
 Politically Exposed Person (PEP)  Related to Politically Exposed Person (PEP)
- **Any other information** : .....

## F. PAST ACTIONS

- Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its authorized persons in charge of dealing in securities during the last 3 years :

## G. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

### G1. DEALINGS THROUGH SUB-BROKERS

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

Sub-broker's Name: \_\_\_\_\_ SEBI Registration number: \_\_\_\_\_

Registered office address : \_\_\_\_\_

Ph : \_\_\_\_\_ Fax: \_\_\_\_\_ Website: \_\_\_\_\_

### G2. DEALINGS THROUGH OTHER STOCK BROKERS / SUB BROKERS

- whether dealing with any other stock broker / sub broker (if case dealing with multiple stock broker / sub broker, 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 : \_\_\_\_\_

## 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:

Sign here : (8) 

Signature of Client/(all) Authorized Signatory(ies)

**TARIFF SHEET**  
**BROKERAGE STRUCTURE**

Brokerage Slab	% of Turnover	Minimum	Brokerage Slab	% of Turnover	Minimum
Delivery Based		Paisa _____ Per Share	Currency Future		Paisa _____ Per Share
Daily Square up		Paisa _____ Per Share	Currency Option		Rs. _____ Per Lot
Equity Future		Paisa _____ Per Share	Mutual Fund		Paisa _____ Per Share
Equity Option		Rs. _____ Per Lot	 Sign here in case of cutting / overwriting		

**Important Note :** In case of Physical Contract notes or other related documents being dispatched to client, a difference of Rs. 25/- in total brokerage booked on a particular contract would be charged toward minimum processing fee. Delay payment charges @2% per month would be charged for debit/shortage in payin/margin default, as per exchange requirements. Depository/Pledge charges for the movement of shares between pool/ beneficiary/margin account for payin / payout or margin purpose will be charged. Transaction charges/Clearing Charges/other statutory charges/ courier/ administration/ processing charges will be charged as applicable. Handling charges for issue of account statement, copy of contract note etc. will be charged as applicable. Handling charges for issue of account statement, copy of contract note etc. will be charged as applicable. One time processing fee Rs. 50/- per segment and POA charges Rs. 100/- shall be charged.

**SCHEDULE OF CHARGES FOR DEMAT ACCOUNT INDIVIDUAL / CORPORATE**

NATURE OF SERVICES	CHARGES (Please tick whichever applicable)		
	<input type="checkbox"/> Regular Scheme	<input type="checkbox"/> Ganesh Relax	<input type="checkbox"/> Life Time
Account Maintenance Cycle	Four Quarter (1 Year)	Twenty Quarter (5 Year)	Life Time
Maintenance Charges (Non-Corporate Account)	₹250/-	₹750/-	₹2000/-
Maintenance Charges (Corporate Account)	₹2000/-	Not Applicable	Not Applicable
TRANSACTION CHARGES			
Delivery	Market Transaction	₹20/- per instruction or 0.02% of transaction value, whichever is higher, subject to maximum of ₹100/-	
	Off Market Transaction	₹25/- per instruction or 0.03% of transaction value, whichever is higher, subject to maximum of ₹1000/-	
Pledge Creation/Closure/Invocation	₹50/- per instruction or 0.02% of transaction value, whichever is higher		
Demat Charges	₹50/- for up to first hundred and after first hundred ₹10/- for every hundred securities or part thereof or a flat fee ₹15/- per certificate whichever is higher plus courier charges of ₹40 for every 25 certificate and part thereof		
Remat Charges	₹100/- for up to first hundred and after first hundred ₹30/- for every hundred securities or part thereof or a flat fee ₹30/- per certificate whichever is higher		
Mutual Funds (Destat / Redemption)	₹50/- per instruction plus courier charges		
Instruction Booklet	₹2/- per leaf plus courier charges		

- Note:**
- The Depository Participant shall reserve the right to revise the charges by giving not less than 30 days notice in writing to the client.
  - Value of Transaction will be in accordance with the Depository formulae.
  - Modification in client detail, 40/- per instance. Maintenance charges will be charged in advance at the time of opening the account.
  - Rejection charges 50/- per rejection plus courier charges.
  - Slip Rejection/Fail charges 20/- per rejection.
  - Off-Market Instruction not received prior to 24 hours of execution will be received at client's risk.
  - Instruction for Pay-In of securities to transfer from client account to CM Pool account, Inter settlement instruction, CM Pool to CM Pool transfer and delivery instruction will be accepted up till 4:00 PM on working day prior to Pay-in date.
  - Periodic statement free on Email and Rs 40 towards courier charges if sent physically.
  - Non-periodic statement shall be charged @ 5/- per page and postage/courier charge @ Rs 40 or actual charges whichever is higher.
  - In case of non-payment of bill/dues within 30 days of due date, interest shall be charged @ 2.0% per month on the outstanding dues.
  - Rs 100 will be charged to client in case of New Delivery Instruction Booklet is requested without requisition slip.
  - All charges are exclusive of GST. Taxes and other Government levies will be charges extra as applicable from time to time.

**“AS per SEBI Circular No. CIR/MRD/DP/22/2012 dated 27th August 2012, all clients who are willing to hold only one demat account as first holder and DP holding valuation will be maintained below Rs. 2 Lac. Is eligible to opt for BSDA (Basic Service Demat Account) subject to term and conditions mentioned by SEBI.” To opt BSDA scheme please sign a separate scheme sheet which can be obtained from our office.”**

- I/We do not wish to avail BSDA facility in my/our Demat Account  I/We wish to avail BSDA facility in my/our Demat Account.

**HOLDER'S SIGNATURES :**

1. (9)  \_\_\_\_\_ Sole/First Holder Signature  
2. (3)  \_\_\_\_\_ Second Holder Signature  
3. (3)  \_\_\_\_\_ Third Holder Signature

For Ganesh Stockinvest Pvt. Ltd.

Authorised Signatory  
(On Behalf of Depository Participant)

**GENERAL AUTHORISATION BY THE CLIENT**

**Ganesh Stockinvest Pvt. Ltd.**

122, Vinoba Puri, Lajpat Nagar II,  
New Delhi-110024

Date : \_\_\_\_\_

**A. RUNNING ACCOUNT AUTHORISATION**

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Commodity 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) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
- 2. I/We request you to settle my fund and release excess securities if any held in "Margin Pledge" account along with the funds' settlement after making necessary retention as per frequency option given below.

Once in a calander Month       Once in every calander Quarter

Except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.

- 3. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite funds & securities towards my settlement/margin obligations and may also retain the funds expected to be required to meet margin obligation, calculated in the manner specified by the exchanges.
- 4. I/We confirm you that I/we shall 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.
- 5. This running account authorization would continue until it is revoked by me by giving a notice in writing.

Sign here : (10) 

Client Name : \_\_\_\_\_

**B. VERBAL ORDER ACCEPTANCE AUTHORISATION**

N/A.




## C. GENERAL AUTHORITY

### Sub: Letter of Authority

I/we dealing with you as client at NSE/BSE/MSEI in Capital, Derivative, Currency & Commodity Derivative Segment and in order to facilitate ease of operations, I/We authorise you as under :

1. I/We authorise you to set off outstanding in any of my/our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchange and/or against the value of cash margin or collateral shares provided to you by me/us.
2. I/We hereby authorise you not to provide me/us Order Confirmation/ Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.
3. I/We hereby authorise you to keep all securities which I/We have given you in margin including the payout securities received by us for meeting margin/order obligation in any of the stock exchanges/clearing house/clearing corporation in whatever manner which may include pledging of shares in favor of bank and/or taking loan against the same or meeting margin/pay-in obligation on my/our behalf or for giving the same as margin to any of the stock exchanges/clearing house/clearing corporation or otherwise. Further, I/We shall when called upon to do so forthwith from time to time provide a Margin Deposit and/or furnish additional Margin as required under the Rules and Regulations in respect of the business done by me and/or as agreed upon by me with the Trading Member.
4. I/We request you to retain credit balance in any of my/our account and to use the unused funds towards my/our margin/future obligation at any or all the Exchanges unless I/We instruct you otherwise. I/We also authorize you to debit the necessary demat charges from time to time, for keeping the shares in your client demat beneficiary account on my behalf. I/We also authorise you to debit the financial charges @2% p.m., for the debit balances or delay payment charges at the rate prescribed by exchange for shortage in margin/debit balances, if any, in my account and not settled as per the exchange requirements.
5. I/We request you to retain Securities in your demat account for my/our margin/future obligations at all Exchanges, unless I/We instruct you to transfer the same to my/our account.
6. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephonic unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.
7. We request that you/exchange/other regulatory authority may send/dispatch us contract notes/e-mail alert/other documents through e-mail on my/our designated e-mail address mentioned by me/us in KYC. I/We will completely rely on the log reports of you dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute on the same. I/We note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at my/our e-mail ID.
8. I/We will inform you the change of my/our demographic detail and other detail like Bank, DP etc.
9. I/We are aware and acknowledge that trading of all exchanges is in Electronic mode, based on Vsat, lease line, ISDN, Modem, VPN, Internet and/or combination of technologies and computer system to place and route order and also involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, pay in payout of funds & securities, online & offline banking etc. these are susceptible to interruptions, delay, mistake and dislocations; and your services may at any time be unavailable without further notice and I/we understand that there exists a possibility of communication failure or system problems or slow or delay response from system or trading half, or any such other problem/glitch whereby not been able to establish access to the trading system/network or delay in execution of trades, which may be beyond your control any may result in delay in processing or not processing of any orders either in part or in full. I understand that you are not making any representation or warranty that your service will be available to the Client at all times without any interruption. I/We agree that I/We shall not have any claim for any loss incurred by me/us against you on account of any suspension, delay, interruption, nonavailability or malfunctioning of your System or Service for any reason whatsoever.
10. I/We confirm that I/We never sublet the trading terminal on any term of connectivity from my place to any other place without your prior approval.
11. I/We am/are agreeable for inter-settlement transfer of securities towards settlement.
12. I/we am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
13. All fines/penalties and charges levied upon you due to my acts / deeds or transaction may be recovered by you from my account.
14. I have a Trading As well as depository relationship with GANESH STOCKINVEST PVT. LTD. Please debit the charges relevant with depository services to my trading account. I also agree to maintain the adequate balance in my trading account/ pay adequate advance fee for the said reason.
15. I authorise you to send me the physical Contract notes/Margin statement/Ledger/Other documents through postal/courier and to charge administrative/postal/other charges if the contract notes sent to me get bounced more than 5 times.
16. For the purpose of providing quality and transparent services to its clients, the Company may record your conversation while interacting with you."

Yours faithfully,

Sign here : (12) 

Client Name : \_\_\_\_\_

Client Code : \_\_\_\_\_

**LETTER OF AUTHORITY TO TRADE**

To,  
**Ganesh Stockinvest Pvt. Ltd.**  
122, Vinoba Puri, Lajpat Nagar II,  
New Delhi-110024

**Sub: Authority to trade on my / our behalf.**

Dear Sir/Madam,

I hereby authorise Mr/Ms. \_\_\_\_\_ S/d of \_\_\_\_\_  
having PAN \_\_\_\_\_, UID No \_\_\_\_\_ & Mobile No \_\_\_\_\_ is my  
husband/wife/son/daughter/brother/sister/parents/other (Please Specify) \_\_\_\_\_ to trade on my  
behalf in my trading a/c No \_\_\_\_\_ and to perform all or any of the following acts, deeds and things for and on  
my /our behalf and in my/our interest.

I/we confirm that the aforementioned Authorised Person is well aware of risks associated with trading.


1. To operate the Account on my/our behalf.
  2. To issue necessary instructions to you, for purchase, sale or transfer of shares and Securities from or to the Account as per Representative own judgment, and to sign necessary documents, wherever required effectuating such instructions of purchase, sale or transfer of securities from or to the Account.
  3. To make or cause to make payments to GANESH STOCKINVEST PVT. LTD. (GSPL). whenever necessary, and in accordance with my/our obligations in accordance with the terms and conditions of various agreements executed between me/us and GSPL.
  4. To duly honour all my/our contractual obligations under various agreements executed between me/us and GSPL. including but not limited to the "Member Constituent Agreement" and/or any other undertaking, commitment issued by my/us in favour of GSPL.
  5. To accept and give valid discharges for acceptance and submission of contract notes, bills, ledger statements, transaction statements and all correspondence on my behalf and report any discrepancy therein to GSPL.
  6. To receive & accept necessary telephonic calls pertaining to margin &/or trade confirmation or any other call including verification call from GSPL. at designated mobile no. & undertake to update this contact detail in writing with GSPL. in the event of any such change, taking place at any time in future.
  7. To sincerely abide by the Statutes, Rules, Regulations and Guidelines prescribed for the purpose and in relation to the operation of the Account.
- A. I/we hereby agree and undertake that all such acts, deeds and things done by the Representative shall be deemed to be binding upon me/us as the same has been done by me/us only and I/we shall hereby ratify all and such acts, deeds, or things done by Representative in any manner whatsoever in discharge of the duties conferred upon him/her under the present instrument.
- B. I/we hereby agree and undertake to indemnify and keep GSPL. including its directors, officers and employees indemnified against any loss, claims, liabilities, obligations, damages, deficiencies, actions, suits, or proceedings aroused / accrued or caused to the GSPL. for any wrong act, deed or thing done by the Representative in any manner whatsoever in exercise of the powers conferred upon him.
- C. I/we further undertake and agree not to challenge any act, deed or things done by said Representative in any manner.
- D. I/we hereby agree and acknowledge that this letter of Authority shall be effective and operational until GSPL. received and acknowledged revocation letter at its registered office.

Client Name : \_\_\_\_\_

Authorised Person Signature \_\_\_\_\_

Client Code : \_\_\_\_\_

Date : \_\_\_\_\_

Sign here : (13) 

## FIT AND PROPER PERSON DECLARATION

**As per Regulation 19(1) of Securities Contracts (Regulation) (Stock Exchanges and Clearing Corporations) Regulations, 2012 (SECC Regulations) which states that no person shall, directly or indirectly, acquire or hold equity shares of a recognised Stock Exchange or recognised Clearing Corporation unless he is a fit and proper person in terms of Regulation 19 and 20 of the said SECC Regulations.**

Regulations 19 and Regulations 20 as prescribed by SEBI (herein referred as "Board") are reproduced below:


### **A. Eligibility for acquiring or holding shares.**

- (1) No person shall, directly or indirectly, acquire or hold equity shares of a recognised stock exchange or recognised clearing corporation unless he is a fit and proper person.
- (2) Any person who, directly or indirectly, either individually or together with persons acting in concert, acquire equity shares such that his shareholding exceeds two per cent of the paid up equity share capital of a recognised stock exchange or recognised clearing corporation shall seek approval of the Board within fifteen days of the acquisition.
- (3) A person eligible to acquire or hold more than five per cent of the paid up equity share capital under sub-regulation (2) of regulation 17 and sub-regulation (2) of regulation 18 may acquire or hold more than five per cent of the paid up equity share capital of a recognised stock exchange or a recognised clearing corporation only if he has obtained prior approval of the Board.
- (4) Any person holding more than two per cent. of the paid up equity share capital of the recognised stock exchange or the clearing corporation on the date of commencement of these regulations, shall ensure compliance with this regulation within a period of ninety days from the date of such commencement.
- (5) If approval under sub-regulation (2) or (3) is not granted by the Board to any person, such person shall forthwith divest his excess shareholding.
- (6) Any person holding more than two per cent. of the paid up equity share capital in a recognised stock exchange or a recognised clearing corporation, as the case may be, shall file a declaration within fifteen days from the end of every financial year to the recognised stock exchange or recognised clearing corporation, as the case may be, that he complies with the fit and proper criteria provided in these regulations.

### **B. Fit and proper criteria.**

- (1) For the purposes of these regulations, a person shall be deemed to be a fit and proper person if—
  - (a) such person has a general reputation and record of fairness and integrity, including but not limited to—
    - (i) financial integrity;
    - (ii) good reputation and character; and
    - (iii) honesty;
  - (b) such person has not incurred any of the following disqualifications—
    - (i) the person, or any of its whole time directors or managing partners, has been convicted by a court for any offence involving moral turpitude or any economic offence or any offence against the securities laws;
    - (ii) an order for winding up has been passed against the person;
    - (iii) the person, or any of its whole time directors or managing partners, has been declared insolvent and has not been discharged;
    - (iv) an order, restraining, prohibiting or debaring the person, or any of its whole time directors or managing partners, from dealing in securities or from accessing the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the expiry of the period specified in the order has not elapsed;
    - (v) any other order against the person, or any of its whole time directors or managing partners, which has a bearing on the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the order has not elapsed;
    - (vi) the person has been found to be of unsound mind by a court of competent jurisdiction and the finding is in force; and
    - (vii) the person is financially not sound.
- (2) If any question arises as to whether a person is a fit and proper person, the Board's decision on such question shall be final.

I/we hereby declare that, I/we am/are fit & Proper person as per the above rules & Regulations of the SEBI.

Sign here : (14) 

## ANNEXURE - A

### TERMS AND CONDITIONS-CUM-REGISTRATION / MODIFICATION FORM FOR RECEIVING SMS ALERTS FROM CDSL

**Definitions:**

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

**Availability:**

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

**Receiving Alerts:**

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make

best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.

5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdsindia.com](mailto:complaints@cdsindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

**Fees:**

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

**Disclaimer:**

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

**Liability and Indemnity:**

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

**Amendments:**

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

**Governing Law and Jurisdiction:**

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of **Registration / modification** (Please cancel out what is not applicable).

**BOID**

1	2	0	8	7	7	0	0												
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name : \_\_\_\_\_ Second Holder's Name \_\_\_\_\_ Third Holder's Name \_\_\_\_\_

Mobile Number on which message are to be sent 

+91																			
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

The mobile number is registered in the name of : \_\_\_\_\_

Email ID : \_\_\_\_\_

(Please write only ONE valid email ID on which communications; if any, is to be sent)

**Signatures** (15) \_\_\_\_\_  
Sole/First Holder Signature

(4) \_\_\_\_\_  
Second Holder Signature

(4) \_\_\_\_\_  
Third Holder Signature

Place : \_\_\_\_\_

Date : \_\_\_\_/\_\_\_\_/20\_\_\_\_



## ANNEXURE - B

### TERMS AND CONDITIONS FOR AVAILING TRANSACTION USING SECURED TEXTING (TRUST) SERVICE OFFERED BY CDSL

1. **Definitions:**  
In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:
  - i. "Depository" means Central Depository Services (India) Limited (CDSL)
  - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
  - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
  - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
  - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP .
10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. **Indemnity:**  
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. **Disclaimer:**  
Depository shall be absolved of any liability in case :-
  - a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
  - b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
  - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

Dear Sir/Madam,

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below subject to the terms and conditions as specified by CDSL.

- a. SMART - SMS alert facility
- b. TRUST - Transaction using Secured Texting facility.

**(please note that SMS alert facility is mandatory if TRUST facility is opted for)**

**BOID**

1	2	0	8	7	7	0	0												
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name : \_\_\_\_\_ Second Holder's Name \_\_\_\_\_ Third Holder's Name \_\_\_\_\_

Mobile Number on which message are to be sent 

+91																			
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

**(Please write only the mobile number without prefixing country code or zero)**

**(Existing users registered for SMS alerts : Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)**

The mobile number is registered in the name of : \_\_\_\_\_

Email ID : \_\_\_\_\_

(Please write only ONE valid email ID on which communications; if any, is to be sent)

I/We consent to CDSL providing to the service provider such information pertaining to account / transactions in my/our account as is necessary for the purpose of availing the said facility.

I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies and agree to abide by them and any amendments thereto made by the depository from time to time. I/We further undertake to pay fee / charges as may be levied by the depository from time to time.

**Signatures** (16) \_\_\_\_\_  
Sole/First Holder Signature

(5) \_\_\_\_\_  
Second Holder Signature

(5) \_\_\_\_\_  
Third Holder Signature

Place : \_\_\_\_\_

Date : \_\_\_\_/\_\_\_\_/20\_\_\_\_

**POWER OF ATTORNEY FOR PAY-IN SECURITIES FOR THE PURPOSE OF SETTLEMENT**

Whereas I/We hold a Beneficiary Account No. \_\_\_\_\_ With Cental Depository Services (India) Limited through M/s. Ganesh Stockinvest Private Limited having DP-ID I 2087700

And Whereas I/We am/are engaged as an investor in buying and selling of securities through M/s. Ganesh Stockinvest Private Limited, a clearing member of National Stock Exchange of India Limited vide SEBI Registration No. INZ000191431.

And of Bombay Stock Exchange Limited vide SEBI Registration No. INZ000191431. And Whereas due to exigency and punctiony of time I/We wish to appoint an agent/attorney to operate the aforesaid beneficiary account on my/our behalf for a limited purpose in the manner hereinafter appearing.

Now know I/We all and these present witness that I/We the above mentioned named do hereby nominate constituent and appoint M/s. Ganesh Stockinvest Private Limited as my/our lawful attorney (hereinafter to as "the attorney") for me/us and on my/our behalf and in my/our name to instruct the aforesaid Depository Participant to fulfil settlement obligation arising out of mutual fund transactions, offer shares through tender offer (buyback) etc. executed by me/us through the same stock broker.

NSE Early Pay in	I I 000011-00020624
BSE Early Pay in	I I 000010-00024107

Further POA executed by me/us provide :

- that Stock Broker would return to me/us the Securities that may have been received erroneously or those securities that it was not entitled to receive from me/us.
- that I/We authorizing the Stock Broker/Depository Participant to send consolidated summary of my/ous script-wise buy and sell position taken with average rates to me/us by way of SMS/Email on my/our request, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

The authority is restricted to the Pay-in obligations arising out of the transactions of sale-affected by me/us though M/s Ganesh Stockinvest Private Limited and I ratify the Instructions given by the aforesaid Clearing Member to the Depository Participant named hereinabove in the manner specified herein.

I/We further agree and confirm that the powers and authorities conferred by the Power of Attorney shall continue until I/We have given to the Depository Participant, a notice in writing for withdrawing the same.

	<b>First / Sole Holder</b>	<b>Second Joint Holder</b>	<b>Third Joint Holder</b>
<b>Name</b>			
<b>Address</b>			
<b>Signatures</b>	(17)	(7)	(7)

Accepted by : <b>M/s. Ganesh Stockinvest Private Limited</b>	
<b>Authorized Signatory Name :</b>	
Witness (1) Name _____ Address _____ Signature	Witness (2) Name _____ Address _____ Signature

Place.....

Date.....

## DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)

The attached non Judicial Stamp Paper of Rs. 100/- form part and parcel of the "Demat Debit and Pledge Instructions (DDPI)" executed by Mr./Mrs./Ms./M/s. \_\_\_\_\_

\_\_\_\_\_ on \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

<b>Client UCC Code</b>	
<b>Demat / Client ID</b>	
<b>Date</b>	
<b>Place</b>	

I/We request to activate the DDPI facility for following purposes :

S. No.	PURPOSE	Signature of Client*
<b>1.</b>	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.	Signature of Sole/First Holder (18)
		Signature of Second Holder (8)
		Signature of Third Holder (8)
<b>2.</b>	Pledging / re-pledging of securities in favour of M/S Gansh Stockinvest Pvt. Ltd. as a trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	Signature of Sole/First Holder (18)
		Signature of Second Holder (8)
		Signature of Third Holder (8)
<b>3.</b>	Mutual Fund transactions being executed on Stock Exchange order entry platforms	Signature of Sole/First Holder (18)
		Signature of Second Holder (8)
		Signature of Third Holder (8)
<b>4.</b>	Tendering shares in open offers through Stock Exchange platforms	Signature of Sole/First Holder (18)
		Signature of Second Holder (8)
		Signature of Third Holder (8)

**UNIQUE CLIENT CODE (UCC) DETAILS ADDITION / DELETION REQUEST FORM**



**GANESH STOCKINVEST PVT. LTD.**

DP : CDSL • DP-ID : I2087700 • DP SEBI Regn. No. IN-DP-396-2019

I 22, Vinoba Puri, Lajpat Nagar II, New Delhi-I 110024

Tel.: 011-46740000 • Fax : 011-46740030 • E-mail : ganeshstock@ganeshstock.com

Application No.:

Date 

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

Please fill the details on **Block Letters in English**

DP ID	1	2	0	8	7	7	0	0	Client ID										
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--	--	--

Permanent Account Number (PAN) of First/Sole Holder																			
-----------------------------------------------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

<b>Account Holder's Details</b>	
Name of First/Sole Holder	
Name of Second Holder	
Name of Third Holder	

I/We request to add Unique Client Code (UCC)

Unique Client Code (UCC)										Exchange ID	Segment ID	CM ID	TM ID

I/We request to delink the Unique Client Code (UCC)

Unique Client Code (UCC)										Exchange ID	Segment ID	CM ID	TM ID

I/We like to delink / add the Unique Client Code (UCC) with all beneficial owner's (BOID) linked with above mentioned Permanent Account Number (PAN)

I/We like to delink / add the Unique Client Code (UCC) with below beneficial owner's (BOID)

DP ID										Client ID									
DP ID										Client ID									
DP ID										Client ID									

(If additional beneficial owner's need to be added, please continue in same format)

Reason for Add/Modify/Delete Unique Client Code (UCC) :

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	First / Sole Holder	Second Joint Holder	Third Joint Holder
<b>Name</b>			
<b>Signatures</b>	(19)	(9)	(9)





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

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

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

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

**UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)**

**Category** (Please tick applicable category):  Unlisted Company  Partnership Firm  Limited Liability Partnership Company  
 Unincorporated association / body of individuals  Public Charitable Trust  Religious Trust  Private Trust  
 Others (please specify \_\_\_\_\_)

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)  
 Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN #			
Address	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____

Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office
Tax ID <sup>®</sup>			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) <sup>§</sup>			

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

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

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

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


#### DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Ganesh Stockinvest Pvt. Ltd. for any modification to this information promptly.


I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name


Designation

(21) 

Sole/First Authorised Signatory

(11) 

Second Authorised Signatory

(11) 

Third Authorised Signatory

Place \_\_\_\_\_

Date \_\_\_\_/\_\_\_\_/\_\_\_\_

\*For detail terms & conditions please see Client Copy

## FORM FOR 'AADHAAR LINKING

To,

**Ganesh Stockinvest Pvt. Ltd.**

122, Vinoba Puri, Lajpat Nagar II,  
New Delhi-110024

Dated : \_\_\_\_\_

Dear Sir/Madam,

PAN		Aadhaar Number	
Trading/Dp Code		Name as per Aadhaar	
Self/Karta/Auth Signatory		Date Of Birth	
PAN of Karta/ Auth Signatory		Gender	

I/We know that Ministry of Finance (Dept. of Revenue) vide Notification G.S.R. 538 (E), dated 1st June, 2017, mandated linking of Aadhaar number with Trading / Demat / PMS / AMCS / MFS accounts. The purpose of collection/usage of Aadhaar number including demographic information is to comply with applicable laws / rules / regulations and provision of the said applicable laws / rules / regulations. After obtaining my Aadhaar number, you will authenticate the same in accordance with the Aadhaar Act, 2016 and shall receive Biometric/demographic information which you can only used to comply with said applicable laws/rules/regulations. .

In reference to the aforesaid compliance requirement, hereby provide my / our consent to GSPL in accordance with Aadhaar Act, 2016 and regulations made there under, for (i) collecting, storing and usage (ii) validating / authenticating and (ii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made there under) and PMLA.

I / We hereby provide my / our consent for sharing / disclosed of the Aadhaar number(s) including demographic information with GSPL group of companies, SEBI, Exchanges, CKYC, KRA, Depositories and any other institutions / agencies as per requirement.

(Name and Signature of Aadhaar Holder)

(Stamp & Sign of Auth Signatory of Non-Individuals)

### Instructions:

1. Separate Aadhaar Linking form is required for each authorized person in case of non individual clients.
2. Aadhaar of Karta required in case of HUF, and Aadhaar of all authorized signatories in case of Partnership firm/Body Corporate/Trust/LLP and other non-individual
3. Submission of this form does not warranty automatic linking of Aadhaar Number with your trading and demat accounts. It is subject to authentication with UIDAI database & other required validations. Please ensure your mobile number (in use) is updated in your Aadhaar database.
4. Submit this consent letter and copy of Aadhaar to your RM or branch or you can email the scan copies from your registered email id to ganeshstock@ganeshstock.com
5. Ganesh refers to Ganesh group of companies.

**DECLARATION BY KARTA & ALL THE CO-PARCENERS (for HUF only)**

To,  
**Ganesh Stockinvest Pvt. Ltd.**  
122, Vinoba Puri, Lajpat Nagar II,  
New Delhi-110024

Dated : \_\_\_\_\_

Dear Sir/Madam,

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

**List of Family Members**

S. No.	Name of the Co-parceners (Including Minor also)	Relationship with Karta	PAN No.	Address (if other than Karta's address)	Date of Birth	Signature
1.						
2.						
3.						
4.						
5.						
6.						

Note : In case of adult family member provide copy of PAN card or any other ID proof (DL/Voter ID/ Passport). In case of Minor Family Member provide copy of age certificate (Birth Certificate/School Leaving Certificate).

Name of the HUF \_\_\_\_\_

Signature of Karta with Rubber Stamp

Date : \_\_\_\_\_ Place : \_\_\_\_\_



## ADDENDUM TO THE CLIENT REGISTRATION FORM / KEY INFORMATION

Date.....

In compliance with the provisions of Prevention of Money Laundering Act, 2002 and subsequent circulars issued by SEBI thereto, we hereby obliged to consider it as a part of client registration document: -

### PREVENTION OF MONEY LAUNDERING

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436(E) dated July 1, 2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number CIR/ISD/AML/3/2010 dt. 31/12/10 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Section 12 of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

The constituents should ensure that the amount invested in the securities is through legitimate sources only and does not involve and is not designated for the purpose of contravention or evasion of the provision of the Income Tax Act, Prevention of Money Laundering Act, Prevention of corruption Act and/or any other law for the time being in force enacted by Govt. of India from time to time or any rules and regulations, notifications or directions issued there under.


To ensure appropriate identification of the constituents under its KYC policy and with view to monitor the transactions for the prevention of anti money laundering, the company has reserve the right to seek information, record constituents telephonic calls and/or obtained or retained documentation for establishing the identity of the constituents, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

The constituents or their attorney, if any, shall produce independent source documents, such as photographs, certified copies of ration card/passport/pan card/driving license or such other documents or produce such information as may be required from time to time for verification of the identity, residential address, financial information of the constituents by the company.

If the constituents refuses/fails to produce the required documents and information with in the period specified in the communication sent by company to the constituents, then the company after applying due diligence measures believes that the transaction is suspicious in nature within the purview of the Act and SEBI circulars issued from time to time or on account of deficiencies in the documentation shall have absolute discretion to report suspicious transaction to FIU-IND or to reject the application or to freeze the account of constituent. Thus the KYC documentation shall comply by all the constituents in its true spirit and word.

The Company, its Directors, its Employees and agents shall not be liable in any manner for any claim arising whatsoever on account of freezing of account or on rejection of application etc. due to noncompliance of the provisions of the Act, SEBI circulars and KYC policy and or where company believes that transaction is suspicious in nature within the purview of the Act or SEBI circulars and reporting the same to FIU-IND.


This document form an integral part of the client registration form as addendum or key information memorandum and will be subject to amendments from time to time.

Sign here : (22) 

Name : .....

## घोषणा

मैं ..... यह घोषणा करता/करती हूँ कि मैंने  
**GANESH STOCKINVEST PVT. LTD.**  
..... में अपना ट्रेडिंग खाता खोला है। उसके लिए एकाउन्ट  
ओपनिंग फार्म और विभिन्न कागजात पर हस्ताक्षर किया है जोकि अंग्रेजी भाषा में है। मुझे इसका मतलब  
मेरी भाषा में समझा दिया गया है। मैं **GANESH STOCKINVEST PVT. LTD.**  
..... के नियम व शर्तों से सहमत हूँ।

(23) 

हस्ताक्षर

## MOST IMPORTANT TERMS AND CONDITIONS (MITC)

### (For non-custodial settled trading accounts)

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

Name: \_\_\_\_\_

Signature of Client:

Date: \_\_\_\_\_

**OPTION FORM FOR ISSUE OF DIS BOOKLET**

Date	D	D	M	M	Y	Y	Y	Y
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DP ID										Client ID								
First Holder Name																		
Second Holder Name																		
Third Holder Name																		

**[Select one of the options given below]**

Dear Sir / Madam,  
I / We hereby state that:

**OPTION 1:**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account though I / we have issued a Power of Attorney (POA) / registered for eDIS / executed PMS agreement in favour of / with \_\_\_(name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such <sup>5</sup>Power of Attorney holder - Clearing Member / by PMS manager/ for executing delivery instructions through eDIS.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

**OR**

**OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a POA/ registered for eDIS / executed PMS agreement in favour of / with \_\_\_\_\_(name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member / by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

## STATEMENT OF ACCOUNT RECEIVING IN ELECTRONIC MODE & ECN

### A. STATEMENT OF ACCOUNT RECEIVING IN ELECTRONIC MODE

To,

**GANESH STOCKINVEST PRIVATE LIMITED**

122, Vinobha Puri, Lajpat Nagar-II,




New Delhi-110024

I/We had entered into DP BO agreement with you. I/We confirm having opted to receive the statement of accounts pertaining to our BO account in electronic mode in lieu of physical copy of the statement of account.

I/We confirm that the dispatch of statement of account to me/us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me/us with statement of my/our BO account. But, I/we reserve my/our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode on the given Email Id \_\_\_\_\_ as per KYC, if such a demand is made in writing on you.

I/We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch/service of my/our statement of account on me/us shall not be binding upon you unless you are intimated in writing by me/us by acknowledged delivery.

Yours faithfully,

<b>Signatures</b>	(17) 	(11) 	(11) 
	_____	_____	_____
	First Holder Signature	Second Holder Signature	Third Holder Signature
Name/s of the Beneficial owner/s Signature/s (all joint holders)			

### B. ELECTRONIC CONTRACT NOTE (ECN) DECLARATION (VOLUNTARY)

**GANESH STOCKINVEST PRIVATE LIMITED**

122, Vinobha Puri, Lajpat Nagar-II,

New Delhi-110024

Dear Sir,

I/We a client with Member M/s. Ganesh Stock invest Private Limited of NSE, BSE, Exchange undertake as follows:

- I/We am/our aware that the Member has to provide physical contract note in respect of all the trades placed by me/us unless I/We myself/ourself want the same in the electronic form.
- I/We am aware that the Member has to provide electronic contract note for my/our convenience on my/our request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me/our.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My/our email id is \_\_\_\_\_ as given on KYC. This has been created by me and not by someone else.
- I/we am aware that this declaration form should be in English or in any other language known to me.
- I/we am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am/our aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

**Signature of the Client**





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**EXCHANGE/DP**

**NSE & BSE  
CDSL**



**GANESH**  
STOCKINVEST PVT. LTD.

**Ganesh Stockinvest Pvt. Ltd.**

(CIN : U74899HR1993PTC048171)

**SEBI Regn. No.:** (NSE, BSE, MSEI) INZ000191431

Depository Participant : Central Depository Services (India) Ltd. (CDSL)  
DP-ID : 12087700 • DP SEBI Regn. No. IN-DP-396-2019

**Corporate Office :**

122, Vinoba Puri, Lajpat Nagar II, New Delhi-110024  
Tel.: 011-46740000 • Fax : 011-46740030 • E-mail : ganeshstock@ganeshstock.com

**Registered Office :**

208-209, Park N Shop L-Block (Mkt.) DLF Phase II Gurgaon HR 122001

[www.ganeshstock.com](http://www.ganeshstock.com)



A SEBI Initiative