

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A IMPORTANT POINTS

- Self attested copy of PAN card is mandatory.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- For opening an account with DP or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Marksheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- 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.
- Fields marked with '\*' are mandatory fields.
- KYC number of applicant is mandatory for updation of KYC details.
- For particular section update, please tick() in the box available before the section number and strike off the sections not required to be updated.
- Clarification/Guidelines on filling 'Personal Details' section
  - Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
  - Either father's name or spouse's name is to be mandatorily furnished.

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

- Aadhaar Card/Passport/ Voter ID card/ Driving license.  
If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- PAN card with photograph.
- 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.
- e-KYC service launched by UIDAI shall also be accepted as a valid process for KYC verification. The information containing the relevant client details and photograph made available from UIDAI as a result of e-KYC process shall be treated as a valid proof of Identity.

### 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.)

#### Permanent Address::

- \*Passport / Voters Identity Card / Aadhaar Card / Driving License.
- Utility bill which is not more than two months old of any service provider (electricity, telephone, piped gas, water bill).
- Property or Municipal Tax receipt.
- Bank account or Post Office savings bank account statement not more than 3 months old.
- Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
- Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
- Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

#### Correspondence Address :

In addition to the above permanent address proof the below proof can be accepted for correspondence proof

- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- 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.
- 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.
- The proof of address in the name of the spouse may be accepted.
- Aadhaar Letter issued by UIDAI shall be admissible as Proof of address in addition to Proof of Identity.

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

- 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.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto ₹ 50,000/- p.a.
- List of people authorised to attest the documents: Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative bank or Multinational Bank (Name, Designation & Seal should be affixed on the copy)

## 1. INSTRUCTIONS / CHECK LIST

Additional documents in case of trading in derivatives segment (illustrative list):

1. Copy of ITR Acknowledgement	4. Net worth Certificate - CA Certified	7. Demat Account Holding Statement along with valuation
2. Copy of Annual Accounts	5. Salary Slip	8. *Any other relevant documents substantiating
3. Copy of Form 16 in case of salary income	6. Bank Statement (For last 6 months)	ownership of Assets

\* Relevant documents as per risk management policy of the stock broker to be provided by the client from time to time

## INDEX

Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, DEPOSITORY &amp; EXCHANGES</b>			
1.	Account Opening Form-Checklist & Instructions	The Document provides Instructions & Checklist relevant to opening of trading & demat account	1
2.	Know Your Client (KYC) Application Form	This Document captures the basic information about the client/ Joint Holders for Trading & Demat Account respectively	3
3.	Account Opening Form for Trading & Depository	This Document captures the additional information about the client relevant for opening Trading & Demat Account	4-5
4.	Declaration	Contains Declaration from Client	6
5.	Mandate for maintaining the account or running account basis	This Document enables you to maintain your account on a running account basis	6
6.	Undertaking	Contains undertakings by the client with respect to ATS's internal operations during the course of relation with ATS	7-8
7.	DDPI	This Document confers specific rights on ATS for operating your Demat account and for transferring the shares for margin/ pay-in purpose and also authorises ATS to act based on the instructions given by you	9
8.	Tariff Sheet	This Document provides schedule of fee applicable for Depository Account	10
9.	Nomination Form	This Document captures the details of nominee(s) w.r.t. the trading and/or demat account/Mutual Fund and the details of guardian in case of minor nominee(s)	11

### ATS Share Brokers Pvt Ltd

**Processing Office Address:** 1st Floor, Tower B, Mantri Commercio, Outer Ring Road, Near Sakra World Hospital, Kariyamma Agradhara, Bellandur, Bengaluru, Karnataka 560103 | Tel: **+91 7667273344** | Website: [www.adityatrading.in](http://www.adityatrading.in)

EXCHANGE	SEGMENT	SEBI REGISTRATION NO.	DATE	
BSE		INZ000205136	22-10-2010	<p>For any grievance/dispute, please contact ATS at the above mentioned Registered / Correspondence office address or e-mail at <a href="mailto:support@adityatrading.com">support@adityatrading.com</a> / <a href="mailto:compliance@adityatrading.com">compliance@adityatrading.com</a> or contact at <b>+91 7667273344</b></p> <p>Compliance Officer: Mr. Vishal Prajapati, Mo. No : <b>+91 8880053344</b>, E-mail ID: <a href="mailto:compliance@adityatrading.com">compliance@adityatrading.com</a></p> <p>CEO Name: Mr. Vikas Jain, E-mail ID: <a href="mailto:vikasjain@adityatrading.com">vikasjain@adityatrading.com</a></p> <p>In case you are not satisfied with the response, please contact the concerned Exchange(s) as provided below:</p> <p>(1) NSE - <a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a> or contact at 1800 2660 058</p> <p>(2) BSE - <a href="mailto:dis@bseindia.com">dis@bseindia.com</a> or contact at 022-22728517</p> <p>(3) NSDL - <a href="mailto:relations@nsdl.co.in">relations@nsdl.co.in</a> or contact at 022 - 2499 4200</p> <p>(4) CDSL - <a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a> or contact at 1800 225 533</p> <p>(5) MCX - <a href="mailto:grievance@mcxindia.com">grievance@mcxindia.com</a> or contact at 022 - 6649 4070</p> <p>(6) SEBI - <a href="http://www.scores.gov.in">www.scores.gov.in</a> or contact at 1800 2667 575</p>
NSE	CASH, F&O, CURRENCY			
MCX	COMMODITY			

**CENTRAL KYC REGISTRY | KNOW YOUR CUSTOMER (KYC) APPLICATION FORM | INDIVIDUAL**

**For office use only**  
 (To be filled by financial institution) KYC Number  (Mandatory for KYC update request)  
 Account Type\*  Offline  Aadhaar OTP based E-KYC (in non-face to face mode)

**1. PERSONAL DETAILS** (Please fill the form in English and in BLOCK letters) (As per Original document only)

Name*	Prefix <span style="border: 1px solid black; display: inline-block; width: 40px; height: 15px;"></span>	First Name <span style="border: 1px solid black; display: inline-block; width: 150px; height: 15px;"></span>	Middle Name <span style="border: 1px solid black; display: inline-block; width: 150px; height: 15px;"></span>	Last Name <span style="border: 1px solid black; display: inline-block; width: 150px; height: 15px;"></span>
Father / Spouse Name*	Prefix <span style="border: 1px solid black; display: inline-block; width: 40px; height: 15px;"></span>	First Name <span style="border: 1px solid black; display: inline-block; width: 150px; height: 15px;"></span>	Middle Name <span style="border: 1px solid black; display: inline-block; width: 150px; height: 15px;"></span>	Last Name <span style="border: 1px solid black; display: inline-block; width: 150px; height: 15px;"></span>
Mother Name*	Prefix <span style="border: 1px solid black; display: inline-block; width: 40px; height: 15px;"></span>	First Name <span style="border: 1px solid black; display: inline-block; width: 150px; height: 15px;"></span>	Middle Name <span style="border: 1px solid black; display: inline-block; width: 150px; height: 15px;"></span>	Last Name <span style="border: 1px solid black; display: inline-block; width: 150px; height: 15px;"></span>

Date of Birth\*            **Marital Status\***  Married  Unmarried  Others \_\_\_\_\_

**Gender\***  M - Male  F- Female  T-Transgender **\*\*Citizenship / Nationality**  IN-Indian  Others \_\_\_\_\_

**Occupation Type\***  S-Service ( Private Sector  Public Sector  Government Sector)  
 O-Others ( Self Employed  Retired  Housewife  Student  Professional)  
 B-Business  
 X-Not Categorized (Please Specify \_\_\_\_\_)

**A- PAN Card\***

**2. CONTACT DETAILS** (All communications will be sent on provided Mobile no. / Email-ID)

Mobile\*   -             
 Email ID\* \_\_\_\_\_

**3. PROOF OF IDENTITY AND ADDRESS\***

- I. (Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)
- A- Passport Number
  - B- Voter ID Card
  - C- Driving Licence
  - D- NREGA Job Card
  - E - National Population Register Letter
  - F - Proof of Possession of Aadhaar
  - G - E-KYC Authentication
  - H- Offline verification of Aadhaar

**Address** \_\_\_\_\_  
 City / Town / Village\* \_\_\_\_\_ District\* \_\_\_\_\_  
 Pin / Post Code\* \_\_\_\_\_ State \_\_\_\_\_

**4. CURRENT ADDRESS DETAILS**

- Same as above mentioned address (in such cases address details as below need not be provided)  
 Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)
- A- Passport Number
  - B- Voter ID Card
  - C- Driving Licence
  - D- NREGA Job Card
  - E - National Population Register Letter
  - F - Proof of Possession of Aadhaar
  - G - E-KYC Authentication
  - H- Offline verification of Aadhaar
  - I - Deemed Proof of Address

**Address** \_\_\_\_\_  
 City / Town / Village\* \_\_\_\_\_ District\* \_\_\_\_\_  
 Pin / Post Code\* \_\_\_\_\_ State \_\_\_\_\_

**6. APPLICANT DECLARATION**

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

PHOTO

(1)

Signature of Applicant

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

Client-ID (to be filled by DP) 1 | 2 | 0 | 7 | 4 | 3 | 0 | 0 | | | | | | | Client Code | | | | | | | | | |

I/We request you to open a  Trading & Demat Account  Trading Account (Please fill all the details in CAPITAL LETTERS only)

**A. DETAILS OF ACCOUNT HOLDERS**

Client Name | | | | | | | | | | | | | | | | | | | | | | | | | | |

**B. STANDING INSTRUCTIONS**

Sr. No.	Authorisations	Please <input checked="" type="checkbox"/> Relevant
1.	Consent to receive credits automatically into my/our Account. (If not ticked, the default option would be "Yes")	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Account to be operated through power of attorney (POA)	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.	Consent to send Electronic Transaction-cum-Holding Statement at Sole/First Holder's email id stated in the KYC	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.	Consent to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
5.	Consent to avail of the facility of internet trading / wireless technology	<input type="checkbox"/> Yes <input type="checkbox"/> No
6.	Consent to avail of Exchange Margin Funding	<input type="checkbox"/> Yes <input type="checkbox"/> No
7.	Consent to receive standard account opening documents <input type="checkbox"/> Electronic <input type="checkbox"/> Physical	
8.	Mode of receiving Annual Reports & Statement of Accounts <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic <small>(For all online clients or if not ticked, the default option would be Electronic) (Applicable for Demat Account)</small>	
9.	Mode of receiving Contract Notes & Statement of Accounts <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <small>(For all online clients or if not ticked, the default option would be Electronic) (Applicable for Trading Account)</small>	
10.	Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Monthly	

Gross Income Range Per Annum (Rs. in Lakhs)	<input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> > 1cr
Networth : (should not be older than 1 year)	Amount (Rs.) _____ As on date  d d m m y y y y
Additional Details, if applicable. (Please tick one or more as applicable)	<input type="checkbox"/> Politically Exposed Person(PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> Bureaucrat <input type="checkbox"/> Civil Servant <input type="checkbox"/> Politician <input type="checkbox"/> Not PEP / Related to PEP
Mobile Number Declaration	I hereby declare that the Mobile number as per CKYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No
Email ID Declaration	I hereby declare that the Email ID as per CKYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents
Nature of Business	_____
Sources of Wealth / Income	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Others (Please specify) _____
Place of Birth	_____
FATCA related information: Are you a US person?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is your Tax Residency other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No

**C. INVESTMENT/TRADING EXPERIENCE & PREFERENCE**

No Prior Investment Experience  Years in Equities  Years In Derivatives  Years in other Investment Related Field  
Proposed Investment / Margin through ATS: ₹ \_\_\_\_\_

**D. DEPOSITORY ACCOUNT DETAILS** (Transactions would be generally routed through the below demat account.) (Default for Payout)

Depository : NSDL  CDSL  DP Name: \_\_\_\_\_

Beneficiary Name: \_\_\_\_\_ DP ID : | | | | | | | | | | BO ID: | | | | | | | | | |

(2)

Signature of Client

**E. BANK ACCOUNT DETAILS**

Default Bank (Through which payout transactions would be generally routed)	Additional Bank
Name & Address : _____	Name & Address : _____
Account No. <input type="text"/>	Account No. <input type="text"/>
Account Type <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other: _____	Account Type <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other: _____
MICR Code <input type="text"/>	MICR Code <input type="text"/>
IFSC Code <input type="text"/>	IFSC Code <input type="text"/>
UPI/VPA _____	UPI/VPA _____

**F. DP TARIFF SCHEME** (Scheme Details on Page 10)

 Consent to avail BSDA facility for new Demat account for which I/we have submitted the account opening form  Yes  No

**G. OPTION FOR ISSUANCE OF DIS BOOKLET (\*Please refer to the details in Tariff Sheet)** (Option 1 in mandatory in case of BSDA A/cs.)

 Option 1 :  I/we do not wish to receive the Delivery Instruction Slip (DIS) booklet with account opening. However, the DIS booklet should be issued to me/us immediately on my/our request at any later date.

 Option 2 :  I/we wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.

**H. For Commodity Segment Only : Participant Category\*:**
**Commercial Participant**  Value Chain Participant  Exporter  Importer  Hedger

**Non Commercial Participant**  Financial Participant  Trader  Jobber  Arbitrager

**I. NOMINATION** ( Depository A/c only  Trading A/c only  All)

\* PAN of Nominee Mandatory for Nomination in Trading A/c

<input type="checkbox"/> I/We wish to make a nomination and do hereby nominate the person, details of whom are provided on nomination form who is/are entitled to receive securities / funds/ Mutual fund units balances lying in my/our account, in the event of my/our death.
<input type="checkbox"/> I/ We do not wish to nominate any one for this Demat Account, Trading Account & Mutual Fund and consequently all rights and liabilities in respect of beneficiary ownership in the Securities / Funds / Mutual Fund units held by me/us shall vest in me/us

**J. STOCK EXCHANGES ON WHICH YOU WISH TO TRADE**

CASH (BSE & NSE)	F & O (NSE)	Currency (NSE)	Commodity (MCX)
<input type="checkbox"/>	<input type="checkbox"/> I have knowledge of trading in derivatives segment and am aware of risks associated therein	<input type="checkbox"/> I have knowledge of trading in currency derivatives segment and am aware of risks associated therein	<input type="checkbox"/> I have knowledge of trading in Commodity derivative segment and am aware of risks associated therein
(3) <input type="checkbox"/>	(4) <input type="checkbox"/>	(5) <input type="checkbox"/>	(6) <input type="checkbox"/>

1. Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off / mentioned as NA.

2. In future, if you need to trade in any additional Segment/Exchange, not opted above, separate authorisation letter will be required.

**K. ATTESTATION / FOR OFFICE USE ONLY**

 Documents Received  Certified Copies  E-KYC data received from UIDAI  Data received from Offline verification  Digital KYC Process  Equivalent e-document  Video Based KYC

This is certify that I have carried out in-person verification in respect of the client mentioned in the KYC form.

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date <input type="text"/>	Name : <u>ATS Share Brokers Pvt Ltd</u>
Emp. Name <input type="text"/>	Code : <input type="text"/>
Emp. Code <input type="text"/>	[Institution Stamp]
Emp. Designation <input type="text"/>	
Emp. Branch <input type="text"/>	
[Employee Signature]	

**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 of any of the above information is found to be false or untrue or misleading or misrepresenting, I /we am/are aware that I/we may be held liable for it.
2. I/we confirm having read, received, explained and understood the contents of policies and procedures, terms & conditions governing Stock Broker, terms & conditions applicable for Margin Trading, Risk Disclosure Documents & Do's & Don't's for trading on the Exchanges, Rights and Obligations applicable for Stock Brokers, Clients, Rights and Obligations applicable for Margin Trading Facility as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants & the tariff sheet, as available on the website on the company. I/We am/are further aware that a copy of Terms & Conditions governing Stock Broker, Risk Disclosure Document, Policies and Procedures, Do's & Don't's for trading on the Exchanges and Rights and Obligations applicable for Stock Brokers, Authorized Persons & Clients, Rights and Obligations of Stock Brokers & Clients for Margin Trading Facility as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants will be received by me/us in electronic form on the email ID provided by me / us in the KYC Document.
3. I/we have read and agree to be bound by the Rules, Regulations, bye laws, circulars and guidelines issued by SEBI, Exchanges, Stock Broker, AMFI, Mutual Funds, Depository and Depository Participant pertaining to my/our trading and demat account, as are in force from time to time.
4. I/we understand that the Stock Broker is relying on this information for the purpose of determining the status of the applicants named above in compliance with CRS/FATCA. The Stock Broker is not able to offer any tax advice on CRS or FATCA or its impact on the applicants and I/We shall seek advice from professional tax advisor for any tax questions. Further, I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. I/We agree, as may be required by Regulatory authorities, Stock Broker shall be required to comply to report, reportable details to CBDT or close or suspend my/our account.
5. I/We confirm having read and understood the guidelines pertaining to BSDA and is eligible to open a depository account as a BSDA holder. I/we will comply with the said guidelines and that in case my/our Demat Account opened under BSDA facility does not meet the eligibility for BSDA facility as per guidelines issued by SEBI or any such authority at any point of time, my/our BSDA account will be converted to Regular Demat Account without further reference to me/us and will be levied charges as applicable to regular accounts (applicable only if consented for BSDA facility).
6. I/We hereby declare that I/we had provided Aadhaar Card as proof of Identity and/or proof address to ATS even-though there were other documents accepted by ATS and I/we authorize ATS to share the copy and/or details of the Aadhaar card (excluding Aadhaar Number) as per the Regulatory/Exchange/Depository requirement. (Applicable in case Aadhaar card is provided as proof of address and/or identity)
7. I/We hereby confirm that ATS may update my/our name in all Exchanges as per the name available in Income Tax records.
8. I/We, opening demat account with ATS, hereby declare that I/we will submit only those inter depository transfer instructions in respect of Government Securities (G-Sec) which are bonafide and arising out of genuine trade or transfer transaction.

(7)  \_\_\_\_\_

Signature of Client

**MANDATE FOR MAINTAINING THE ACCOUNT ON RUNNING ACCOUNT BASIS**

To,  
ATS Share Brokers Pvt Ltd,

Dear Sir,

I / We hereby severally give mandate to you for maintenance of my/our account with you on running account basis. This mandate shall be applicable to all segments across exchanges maintained with you including Mutual funds availed through NSE MFSS and / or BSE STAR MF or such other platform.

This mandate is voluntarily given by me / us as it is cumbersome for me / us to settle the accounts with you frequently. This will facilitate me/us in my transactions through you. I/We also request you to consider the balances in my/our funds, securities, mutual fund units and currency account with you for the purpose of margins/any other obligations due to you.

In view of the above it would be proper for you to release the funds, mutual fund units and securities due to me/us on my specific request, either written or oral. You may debit the charges of holding units/securities/commodities to my/our account with you.

Further, I/We, authorise ATS Share Brokers Pvt Ltd to not to retain amount of funds and/or securities payable to me/ us, or such other permissible amount as directed by regulatory authorities from time to time during any monthly/quarterly settlement of my/our account. I/We, further agree that my/our account shall be deemed to have been settled as per SEBI/Exchange guidelines for respective quarter notwithstanding the said retention by ATS Share Brokers Pvt Ltd.

Further, I/We hereby declare that I/We retain the right to revoke this authorization at anytime.

Yours faithfully,

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

(8)  \_\_\_\_\_

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

Signature of Client

\* In case not specified account would be settled in Quarterly basis.



**Sub: Undertaking/Authorisation**

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

**1. ORDER PLACEMENT INSTRUCTIONS**

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

**2. ERRORS AND OMISSIONS**

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

**3. NO MARKET MANIPULATION**

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

**4. NOT TO ACT AS UNREGISTERED SUB BROKER**

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

**5. NOT DEBARRED BY ANY REGULATOR**

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

**6. PMLA DECLARATION**

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

I further undertake and confirm that;

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

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

(9) 

Signature of Client

## **8. BSE STAR MUTUAL FUND FACILITY**

I am interested in availing the StAR Mutual Fund facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the StAR platform of the Exchange. For the purpose of availing the StAR Mutual Fund facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of StAR and I/we further confirm that the details contained in same remain unchanged as on date. I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). I shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me.

## **9. DELAYED PAYMENT CHARGES**

I understand that in case my account is in debit balance and/or if I have insufficient funds to manage my trading positions, I will be charged an interest of 0.05% per day as delayed payment charges. I confirm having read the rules & regulations pertaining to the levy of such interest under the policies & procedures page on ATS's website.

## **10. NRI DECLARATION**

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

## **11. THIRD-PARTY PAYMENTS**

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

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

## **12. NO DEALINGS IN CASH**

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

## **13. DISCLOSURE OF PROPRIETARY TRADING BY ATS**

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

## **14. DELIVERIES**

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



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

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

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



**Demat Debit and Pledge Instruction**

<b>S.No.</b>	<b>Purpose</b>	<b>Signature of Client *</b>
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	<p align="center">(11)  _____ Signature of Client</p>
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	<p align="center">(12)  _____ Signature of Client</p>

\* the same may be eSigned or signed physically

### Tariff Detail

Details	Charges
Stamp charges payable upfront	₹50/-
Annual Maintenance Charges	Nil
<b>Transaction Charges : (Market Trades)</b>	
Buy(Receive) / Sell (Debit)	Nil / ₹8/- + ₹5.50/- (CDSL Charges)
<b>Transaction Charges : (Off-Market Trades)</b>	
Buy(Receive) / Sell (Debit)	Nil / 0.03% or ₹25/- whichever is higher
Demat (Per certificate)	₹150/- per certificate
Remat (Per certificate)	₹150/- per certificate + CDSL Charges
Courier charges per Demat/Remat/Demat Rejn./CMR	₹100/-
Pledge Request	₹20/- + ₹12 per request (CDSL Charges)
Unpledge Request	₹20/- + ₹12 per request (CDSL Charges)
Pledge invocation	₹20/-
<b>Periodic Statement</b>	
By Email / Physical	Free / ₹50/- (+Courier charges at actual)
<b>Adhoc / Non Periodic Statement Requests</b>	
By Email	Nil
Physical	₹50 per request upto 10 pages. Every additional page at ₹5 (+Courier charges at actual)
<b>Delivery instruction</b>	
First Delivery Instruction Book	Free (10 Leaves)
Every Addl Booklet (10 Leaves)	₹100/-
Cheque Bounce Charges	₹350/-
Failed Transactions	₹50 per ISIN
Modification in CML	₹25/- per request
KRA Upload / Download	₹50/-

### **BROKERAGE STRUCTURE**

	Equity Cash		Derivatives		Currency		Commodity	
	Intraday	Delivery	Futures	Options	Futures	Options	Futures	Options
Brokerage	₹0	₹0	0.01%	₹10 per lot	0.01%	₹10 per lot	0.01%	₹10 per lot

Mutual Funds - ₹0 Commission

IPO - ₹0 Commission

(13) \_\_\_\_\_  
Signature of Client

**Nomination Form**  
**[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601**  
**dated July 23, 2021 on**

**Mandatory Nomination for Eligible Trading and Demat Accounts]**

TM / DP Name and Address		FORM FOR NOMINATION <i>(To be filled in by individual applying singly or jointly)</i>																				
Date	D	D	M	M	Y	Y	Y	Y	UCC/DP ID	I	N					Client ID						
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																						
<b>Nomination can be made upto three nominees in the account.</b>			<b>Details of 1<sup>st</sup> Nominee</b>						<b>Details of 2<sup>nd</sup> Nominee</b>						<b>Details of 3<sup>rd</sup> Nominee</b>							
1	<b>Name of the nominee(s) (Mr./Ms.)</b>																					
2	<b>Share of each Nominee</b>	Equally <small>[If not equally, please specify percentage]</small>	%						%						%							
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>																						
3	<b>Relationship With the Applicant ( If Any )</b>																					
4	<b>Address of Nominee(s)</b> City / Place: State & Country:																					
		PIN Code																				
5	<b>Mobile / Telephone No. of nominee(s)</b>																					
6	<b>Email ID of nominee(s)</b>																					
7	<b>Nominee Identification details</b> – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN Aadhaar Saving Bank account no. Proof of Identity <input type="checkbox"/> Demat Account ID																					

**Declaration Form For Opting Out Of Nomination**

To	Date	D	D	M	M	Y	Y	Y	Y
Trading Member/Participant's Name									
Member/Participant's Address									
UCC/DPID	I	N							
Client ID (only for Demataccount)									
Client Name									
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demataccount 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.									

(14)

Signature of Client