

# CLIENT REGISTRATION FORM

Branch Tag

Client Code

File No.

INDIVIDUAL / CORPORATE



**AKSHAT CAPITAL SERVICES PRIVATE LTD.**

MEMBER : MSEI, BSE & NSE

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



## AKSHAT CAPITAL SERVICES PRIVATE LTD.

CIN : U93000UR2009PTC033415

EXCHANGE / SEGMENT	SEBI REGN NO.	DATED	MEMBER ID
MSEI Cash	INB 261478433	28-01-2013	74400
MSEI F&O	INF 261478433	28-01-2013	74400
MSEI Currency	INE 261394436	30-09-2008	74400
BSE Cash			
BSE F&O			
BSE Currency			
NSE Cash			
NSE F&O			
NSE Currency			

**Regd. Office :** 168, Indra Nagar, Dehradun, Uttarakhand-248006

Phone : +91-135-2760684, Fax : +91-135-2760684

**Corporate Office :** A-78, Green Valley, Kaushambi, Ghaziabad-201010

Phone : +91-120-4357951, Fax : +91-120-4321848

E-mail : info@akshatcapitalservices.com

Website : www.akshatcapitalservices.com

### Compliance Officer's Details

Name : Mr. Girish Bali Phone No. : 0120-4357951

E-mail Id : girish\_ons@hotmail.com

### CEO & Principal Officer's Details

Name : Mr. Sandeep Gambhir Phone No. : 0120-4357951

E-mail Id : sndp\_gambhir@yahoo.co.in

### Details of Clearing Member (Currency Segment) :

Axis Bank Ltd.

Barakhamba Road, New Delhi-110001

SEBI Registration No. of the Clearing Member :

MSEI (MCX-SX) F&O : INF261476438, Clg. Code : 29

MSEI (MCX-SX) Currency : INE261313634, Clg. Code : 29

BSE Currency : INE011357436, Clg. Code : 4011

BSE F&O : INF011295138, Clg. Code : 852

NSE F&O : INF231133937, Clg. Code : C51072

NSE Currency : INE231308037, Clg. Code : M51568

For any grievance/dispute please contact AKSHAT CAPITAL SERVICES PRIVATE LTD. at the above address or email id-ig@akshatcapitalservices.com and Phone No. +91-120-4321810, 4321848. In case not satisfied with the response, please contact the concerned exchange(s) at :

Exchange Name	E-mail ID	Phone No.
National Stock Exchange of India Ltd.	ignse@nse.co.in	011-23344313
Bombay Stock Exchange Ltd.	iscdelhi@bseindia.com	011-43007413
Metropolitan Stock Exchange of India Ltd.	investorcomplaints@msei.in	022-67319000

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

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

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

### C. Proof of Address (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/Aadhaar letter issued by Unique Identification Authority of India.
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. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

**E. List of people authorized to attest the documents:**

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

**F. 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).</li> <li>• Copy of Trust deed. 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>

**ACCOUNT OPENING FORM FOR RESIDENT INDIVIDUALS TRADING IN CASH SEGMENT**

**SARAL**

**KYC - Please fill this form in BLOCK LETTERS**

A. IDENTITY DETAILS	
1. Name of Applicant	
2. Father's/Spouse Name	
3. A. Gender <input type="checkbox"/> Male <input type="checkbox"/> Female B. Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married C. Date of Birth	d   d  /  m   m  /  y   y   y   y
4. A. Nationality <input type="checkbox"/> Indian <input type="checkbox"/> Others _____ (Please Specify)	
5. A. PAN	B. Aadhaar Number, if any:
6. Specify the proof of identity submitted	
<input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Passport <input type="checkbox"/> Voter ID <input type="checkbox"/> Driving Licence <input type="checkbox"/> Others _____ (Please see guideline 'O' overleaf)	

**PHOTOGRAPH**

Please fix  
the recent passport  
size photograph and  
sign across it

B. ADDRESS DETAILS	
1. Residence Address:	
City/Town/Village:	PinCode:
State:	Country:
2. Contact Details	
Tel. (Off.) (ISD) (STD)	Tel. (Res.) (ISD) (STD)
Mobile (ISD) (STD)	Fax (ISD) (STD)
E-mail ID	
3. Permanent Address of Resident Applicant if different from above B   OR Overseas Address (Mandatory) for Non-Resident Applicant	
City/Town/Village:	PinCode:
State:	Country:
4. Proof of address to be provided by Applicant. Please submit ANYONE of the following valid documents & tick (✓) against the document attached.	
<input type="checkbox"/> Passport <input type="checkbox"/> Rationcard <input type="checkbox"/> Registered Lease/Sale Agreement of Residence <input type="checkbox"/> Driving Licence <input type="checkbox"/> Voter Identity Card <input type="checkbox"/> Latest Bank A/c Statement/Passbook <input type="checkbox"/> Latest Telephone Bill (only Land Line) <input type="checkbox"/> Latest Electricity Bill <input type="checkbox"/> Latest Gas Bill <input type="checkbox"/> Other _____ (Please Specify)	
• Not more than 3 months old. Validity/Expiry date of proof of address submitted  d   d  /  m   m  /  y   y   y   y	

**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.

**SIGNATURE OF APPLICANT** ✓ \_\_\_\_\_

Date |d| |d| / |m| |m| / |y| |y| |y| |y|

OTHER DETAILS					
<b>1. Bank account details :</b>					
Bank Name	Branch Address	Bank Account No.	Account Type : Saving / Current	MICR Number	IFSC Code
<b>2. Demat account details :</b> (In case the client does not have DP account, this column may be crossed)					
DP Name	NSDL / CDSL	Beneficiary Name	DP ID	BO ID	

3. Whether DP account is also to be opened with the same intermediary (Yes/No)

4. Trading Preferences : Please sign the relevant boxes where you wish to trade.

Exchange	Sign	Exchange	Sign	Exchange	Sign
<b>NSE</b>		<b>BSE</b>		<b>MSEI</b>	

5. Mode of receiving Contract Note/Statement of Account : Physical / Electronic (Please indicate your preference).....

6. Standing instructions to receive credits automatically into my BO account (Yes/No)

7. Nomination details (Name, PAN, Address and Phone No. of nominee) : relationship with the nominee (If nominee is a minor, details of Guardian, like name, address, phone no and signature of Guardian may be obtained)

I have understood the contents of policy and procedures document, tariff sheet, 'Rights and Obligations' document and 'Risk Disclosure Document'. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for information on stock broker's designated website.

**SIGNATURE OF APPLICANT**  \_\_\_\_\_

Date : |d|d|/|m|m|/|y|y|y|y|

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client: \_\_\_\_\_

2. Demat account details : (In case the client does not have DP account, this column may be crossed)

DP Name	NSDL / CDSL	Beneficiary Name	DP ID	BO ID

2. Demat account details : (In case the client does not have DP account, this column may be crossed)

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

I/We undertake that I/we have made the client aware of 'Policy and Procedures', tariff sheet. I / We have also made the client aware of 'Right and Obligations' document (s). RDD and Guidance Note. I/We given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet 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.

If the client chooses to avail the demat facility from the same stock broker who is also a depository participant, the stock broker may use the same form and provide the details of the demat account opened for the said client to the client while providing a copy of the KYC documents.



\_\_\_\_\_  
**SIGNATURE OF AUTHORISED SIGNATORY**

\_\_\_\_\_  
Seal / Stamp of the stock broker

Date : |d|d|/|m|m|/|y|y|y|y|

NOTE : This form is applicable for individual investors trading in the cash segment. If such investors wish to trade in segments other than cash segment and / or wish to avail facilities such as internet trading, running account, margin trading, Power of Attorney etc., they may furnish additional details required as per prescribed regulations to the concerned intermediary.

## ANNEXURE - I ACCOUNT OPENING KIT

### INDEX OF DOCUMENTS

#### MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction / check list.	1-4
		B. Document captures the additional information about the constituent relevant to trading account and an instruction / check list.	5-8
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/ trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Given to Client with Welcome Kit
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4.	Guidance Note	Documents detailing do's and don'ts for trading on exchange, for the education of the investors.	
5.	Policies and Procedures	Document describing significant policies and procedure of the stock broker.	9-10
6.	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	11

#### VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Authorisation for Electronic Communication	For authorising the trading member to send Electronic Contract Notes.	12
2.	Running Account Authorisation	Helps the client to enjoy exposures linked to the credit in the trading account.	13
3.	Letter of Authority	Letter where in Client Authorises Stock Broker to maintain running account and to accept verbal orders etc.	14
4.	FATCA & CRS Declaration	FATCA & CRS Declaration for Individual & Non-Individual	15-17
5.	Following formats related to account opening and modifications are available at our website <a href="http://www.akshatcapitalservices.com">www.akshatcapitalservices.com</a> in download section.		

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## KNOW YOUR CLIENT (KYC) Application Form - For Individual

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

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

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

**Acknowledgement No.**

### A IDENTITY DETAILS

**Name of the Applicant** .....  
(As Appearing in Supporting Identification Documents)

**Father's/Spouse Name** .....

**Gender**    Male    Female   **Marital status**    Single    Married   **Date of Birth**  

**Nationality**    Indian    Other (Please specify) .....

**Status**    Resident Individual    Non Resident    Foreign National

**Permanent Account Number (PAN)**  

**Aadhaar Number, if any:**  

**Specify Proof of Identity submitted**    PAN card    Other (Please specify) .....

### PHOTOGRAPH

Please affix  
your recent passport  
size photograph and  
sign across it

### B ADDRESS DETAILS

Correspondence Address    Residence Address

**Residence / Correspondence Address** .....

City / Town / Village ..... Pin Code

State ..... Country .....

**Contact Details**

Tel. (Off.) ..... Fax .....

Tel. (Res.) ..... Mobile No .....

E-Mail Id. ....

**Specify the Proof of Address submitted for Residence / Correspondence Address:** .....

**Validity Expiry Date of Proof of Address Submitted**  

**Permanent Address** (If different from above or overseas address, mandatory for Non-Resident Applicant to specify Overseas address)

.....

City / Town / Village ..... Pin Code

State ..... Country .....

**Specify the Proof of Address submitted for Permanent Address:** .....

**Validity Expiry Date of Proof of Address Submitted**  

### C 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.

Date



Signature of the Applicant

### FOR OFFICE USE ONLY

#### In Person Verification (IPV) Details:

Name of the person who has done the IPV: .....

Designation: ..... Employee ID: .....

Name of the Organization: **AKSHAT CAPITAL SERVICES PRIVATE LTD.**

Date of IPV:

Signature of the person who has done the IPV

Seal/Stamp of the Intermediary

Originals Verified & Self Attested Document copies received

Date       Place : .....

Name & Signature of the Authorised Signatory

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## KNOW YOUR CLIENT (KYC) Application Form - For Non-Individual

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

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

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

**Acknowledgement No.**

### A IDENTITY DETAILS

Name of the Applicant .....

Date of Incorporation           Place of Incorporation .....

Date of commencement of business  

Permanent Account Number (PAN)  

Registration No. (e.g. CIN)  

Status (Please tick any one)

- |  |  |   |  |  |
|--|--|---|--|--|
| <input type="checkbox"/> Private Limited Co.   | <input type="checkbox"/> Public Ltd. Co. | <input type="checkbox"/> Body Corporate | <input type="checkbox"/> Partnership     | <input type="checkbox"/> FII                         |
| <input type="checkbox"/> Trust                 | <input type="checkbox"/> Charities       | <input type="checkbox"/> NGO's          | <input type="checkbox"/> FI              | <input type="checkbox"/> Non-Government Organization |
| <input type="checkbox"/> HUF                   | <input type="checkbox"/> AOP             | <input type="checkbox"/> Bank           | <input type="checkbox"/> Government Body | <input type="checkbox"/> Others (Please specify)     |
| <input type="checkbox"/> Defense Establishment | <input type="checkbox"/> BOI             | <input type="checkbox"/> Society        | <input type="checkbox"/> LLP             |  |

### PHOTOGRAPH

Please affix  
your recent passport  
size photograph and  
sign across it

### B ADDRESS DETAILS

Address for Correspondence .....

City / Town / Village ..... Pin Code  

State ..... Country .....

#### Contact Details

Tel. (Off.) ..... Fax .....

Tel. (Res.) ..... Mobile No .....

E-Mail Id. ....

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

Validity Expiry Date of Proof of Address Submitted  

Registered Address (If different from above or overseas address, mandatory for Non-Resident Applicant to specify Overseas address)

City / Town / Village ..... Pin Code  

State ..... Country .....

Specify the Proof of Address submitted for Registered Address: .....

Validity Expiry Date of Proof of Address Submitted  

### C OTHER DETAILS

Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and whole time directors : .....

If space is insufficient, enclosed these details separately (illustrative format enclosed)

DIN OF Whole time directors : .....

If space is insufficient, enclosed these details separately (illustrative format enclosed)

AADHAR No. OF Promoters/Partners/Karta : .....

If space is insufficient, enclosed these details separately (illustrative format enclosed)

**D DECLARATION**

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.

Date



\_\_\_\_\_  
Name & Signature of the Director/Authorised Signatory(ies)

**FOR OFFICE USE ONLY**

**In Person Verification (IPV) Details:**

Name of the person who has done the IPV: \_\_\_\_\_

Designation: \_\_\_\_\_ Employee ID: \_\_\_\_\_

Name of the Organization: **AKSHAT CAPITAL SERVICES PRIVATE LTD.**

Date of IPV:

\_\_\_\_\_  
Signature of the person who has done the IPV

\_\_\_\_\_  
Seal/Stamp of the Intermediary

Originals Verified & Self Attested Document copies received

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

\_\_\_\_\_  
Name & Signature of the Authorised Signatory

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

2. Relationship with Applicant (i.e. promoters, whole time directors etc.) \_\_\_\_\_

3a. PAN \_\_\_\_\_ 3b. DIN/Aadhaar No. \_\_\_\_\_

4. Residential/ Registered Address \_\_\_\_\_

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

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

5. Please tick, if applicable :  Politically Exposed Person (PEP)  Related to Politically Exposed Person (PEP)

**PHOTOGRAPH**

Please affix  
your recent passport  
size photograph and  
sign across it

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

2. Relationship with Applicant (i.e. promoters, whole time directors etc.) \_\_\_\_\_

3a. PAN \_\_\_\_\_ 3b. DIN/Aadhaar No. \_\_\_\_\_

4. Residential/ Registered Address \_\_\_\_\_

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

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

5. Please tick, if applicable :  Politically Exposed Person (PEP)  Related to Politically Exposed Person (PEP)

**PHOTOGRAPH**

Please affix  
your recent passport  
size photograph and  
sign across it

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

2. Relationship with Applicant (i.e. promoters, whole time directors etc.) \_\_\_\_\_

3a. PAN \_\_\_\_\_ 3b. DIN/Aadhaar No. \_\_\_\_\_

4. Residential/ Registered Address \_\_\_\_\_

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

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

5. Please tick, if applicable :  Politically Exposed Person (PEP)  Related to Politically Exposed Person (PEP)

**PHOTOGRAPH**

Please affix  
your recent passport  
size photograph and  
sign across it

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

2. Relationship with Applicant (i.e. promoters, whole time directors etc.) \_\_\_\_\_

3a. PAN \_\_\_\_\_ 3b. DIN/Aadhaar No. \_\_\_\_\_

4. Residential/ Registered Address \_\_\_\_\_

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

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

5. Please tick, if applicable :  Politically Exposed Person (PEP)  Related to Politically Exposed Person (PEP)

**PHOTOGRAPH**

Please affix  
your recent passport  
size photograph and  
sign across it

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

2. Relationship with Applicant (i.e. promoters, whole time directors etc.) \_\_\_\_\_

3a. PAN \_\_\_\_\_ 3b. DIN/Aadhaar No. \_\_\_\_\_

4. Residential/ Registered Address \_\_\_\_\_

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

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

5. Please tick, if applicable :  Politically Exposed Person (PEP)  Related to Politically Exposed Person (PEP)

**PHOTOGRAPH**

Please affix  
your recent passport  
size photograph and  
sign across it

Name & Signature of the Authorised Signatory (ies)

Date :

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**ANNEXURE - 3**

**TRADING ACCOUNT RELATED DETAILS (For Individuals & Non-Individuals)**

**A. BANK ACCOUNT(S) DETAILS** (Through which transactions shall generally be routed)













Bank Name	Branch Address	Account Number	Account Type	MICR Number	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others - in case of NRI / NRE / NRO		

**B. DEPOSITORY ACCOUNT(S) DETAILS** (Through which transactions shall generally be routed)

Depository Participant Name	Name of Depository	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			

**C. TRADING PREFERENCES**

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

Stock Exchange	Market Segment/s
<input type="checkbox"/> NSE 	<input type="checkbox"/> Cash  <input type="checkbox"/> F&O  <input type="checkbox"/> Currency Derivative 
<input type="checkbox"/> BSE 	<input type="checkbox"/> Cash  <input type="checkbox"/> F&O  <input type="checkbox"/> Currency Derivative 
<input type="checkbox"/> MSEI 	<input type="checkbox"/> Cash  <input type="checkbox"/> F&O  <input type="checkbox"/> Currency Derivative 

In future, if you want to trade on any new segment/new exchange please submit separate authorization / letter. (for format download from our website)

**ONLINE / OFFLINE PREFERENCES**

Capital Market (NSE & BSE), Derivative (NSE & BSE), Currency Derivative (NSE, MSEI)	<input type="checkbox"/> Offline <input type="checkbox"/> Online 
---	--

**D. FINANCIAL & OCCUPATION DETAILS**

- Gross Annual Income Details : Income Range per annum :  Below Rs. 1 Lac  Rs. 1 Lac to 5 Lac  
(please specify)  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)         (Compulsory for Non-Individuals)
- Occupation :  Private Sector  Public Sector  Government Service  Business  Professional  
(please tick any one and give brief details)  Agriculturist  Retired  Housewife  Student  Others \_\_\_\_\_ Please Specify
- 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 : .....

**E. PAST ACTIONS**

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

.....  
 .....

**F. DEALINGS THROUGH SUB-BROKES AND OTHER STOCK 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 :.....

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

Name of stock broker : .....

Name of Sub-Broker, if any : .....

Client Code :..... Exchange : .....

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

.....

**G. ADDITIONAL DETAILS**

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) :

.....

Specify your Email id, if applicable : .....

Whether you wish to avail of the facility of internet trading/ wireless technology (please specify) :

.....

Number of years of Investment/Trading Experience : .....

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

PHOTOGRAPH          Sign across the Photograph
---

PHOTOGRAPH          Sign across the Photograph
---

Name.....

Designation.....

PAN.....

UID.....

Residential Address.....

.....

.....

**Signature**.....

Name.....

Designation.....

PAN.....

UID.....

Residential Address.....

.....

.....

**Signature**.....

Any other information : .....

.....



**H. INTRODUCER DETAILS**

Name of the introducer :.....  
(Surname) (Name) (Middle Name)

Status of the Introducer :  Sub Broker  Remisier  Auth. Person  Existing Client  Others \_\_\_\_\_

Address and Ph. No. of the Introducer :.....  
..... Sign. of the Introducer.....

**I. NOMINATION DETAILS (for individuals only)**

I/We wish to nominate  I/We do not wish to nominate

Name of the Nominee :.....

Relationship with the Nominee :.....

PAN of Nominee :..... Date of Birth of Nominee :.....

Address and Ph. No. of the Nominee :.....

.....

If Nominee is a minor, details of guardian :

Name of the Guardian :.....

Address and Ph. No. of Guardian :.....

.....

Sign. of Guardian.....

**WITNESSES (Only applicable in case the account holder has made nomination)**

Name \_\_\_\_\_

Name \_\_\_\_\_

Signature \_\_\_\_\_

Signature \_\_\_\_\_

Address \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**DECLARATION**

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

Place \_\_\_\_\_

Date \_\_\_\_\_



Signature of Client / All Authorized Signatory (ies)

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client : \_\_\_\_\_

	Document verified with Originals	Client Interviewed By	In-Person Verification Done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

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

 \_\_\_\_\_  
 Signature of the Authorised Signatory

Date \_\_\_\_\_

Seal / Stamp of the Stock Broker

**INSTRUCTIONS / CHECK LIST**

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

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net Worth Certificate
Copy of Demat Account Holding Statement	Bank Account Statement for last 6 months
Any other relevant documents substantiating ownership of assets	Self declaration with relevant supporting documents.

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
  - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
  - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
  - a. Form need to be initialized by all the authorized signatories.
  - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

**POLICIES AND PROCEDURES AS PER SEBI CIRCULAR NO. MIRSD/ SE/CIR-19/2009 DATED 3 DEC, 2009**

**POLICIES AND PROCEDURES:**

**1. Refusal of orders for penny stocks:**

Stock broker is advising to the clients not to deal in penny securities and if client deals with the penny stocks, 100% margin will be taken from the client and these shares will not be taken to as Margin deposit. The stock broker shall have authority from time to time limit (quantity/ value) or refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies) or may require compulsory settlement / advance payment of expected settlement value/ delivery of securities for settlement prior to acceptance / placement of order(s) as well, the order being for securities which are not in the permitted list of the stock broker / exchange(s) / SEBI or does not commensurate with the risk profile of the client as assessed by the broker. Decision of Broker will be binding on the client and will be final.

**2. Setting Up Client's Exposure Limits:**

The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time. The client is aware and agrees that the stock broker may need to vary or reduce or impose new limits urgently on the basis of the stock broker's risk perception, risk profile of the client and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions/ limits (such as broker level/ market level limits in security specific / volume specific exposures etc.).

The stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. Sometimes client's sauda may go to IOC (Immediate or Cancel) instead of normal bidding if broker terminal is on square off mode.

The Stock Broker at its sole discretion can give extra exposure or intraday limit to the client, such extra exposure will automatically be squared off by trading mechanism without any further reference to the client appx. 15 minutes before the scheduled closing.

**3. Applicable Brokerage Rate**

**a. For Cash Market Segment:**

The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market segment of the Exchange shall be 2.5 % of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale / purchase value of a share is Rs. 10/- or less, a maximum brokerage of 25 paise per share may be collected.

**b. For Option contracts:**

Brokerage for option contracts would not exceed Rs. 100/- per lot single side or such other rates as provided by the exchanges.

**4. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws)**

Client shall be liable to penalty and other charges on nonpayment of margin money, short selling of securities or units, failure on payment of auction, cheque bounce, non delivery of shares, increase open position or on any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force as per Rules, Regulations, Guidelines and Circulars issued by SEBI and stock exchange time to time and client will be kept informed about the rate of such penalties & fines. Similarly in case of non receipt of full payment of value of delivery purchased, margin imposed (initial + MTM) interest will be charged at 18% p.a. calculated on daily basis on shortfall amount till the date of actual realization of money.

All fines/penalties and charges levied upon the Client due to its acts / deeds or transactions will be recovered by the Stock Broker directly from the client's account on actual basis.

**5. The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues (This shall be limited to the extent of settlement/ margin obligation)**

1. If payment/securities towards the Margin or shortfall in Margin is not received instantaneously to enable restoration of sufficient Margin in the Client's account.

2. In case of benefit of margin will be given only after realization of instrument..

3. If the client gives orders / trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery(s) and if such anticipated availability does not materialize in actual availability of securities / funds for pay in for any reason before the close of market .

4. The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/ securities / shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage mentioned

on the website, whichever is earlier. similarly all transactions outstanding under limit by whatsoever name called may be closed out at specified time if not squared off by the client.

5. In case open position (i.e. short/long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charges levied by exchange in actual and losses, if any.
6. Any reference in these terms to sale or transfer of securities by the Stock Broker shall be deemed to include sale of the securities which form part of the Margin maintained by the Client with the Stock Broker.

**6. Shortages in obligations arising out of internal netting of trades**

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a. The short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Pay-in/Payout Day. The securities delivered short are purchased from market on T +3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies + 5 % extra) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
- b. If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T +3 day or Auction day on Exchange +10%. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits after deducting exchange penalties.
- c. In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction

**7. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.**

The stock broker may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker / exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances.

1. For non-payment or erosion of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the client's liabilities/ obligations.
2. Any order which is executed without the required Margin in the Client's account or the brokers exposure is more than 90% and above so no fresh trade will be taken.
3. The client hereby authorizes the Stock Broker to square up all his outstanding positions at the discretion of the Stock Broker, which are not marked for delivery 15 minutes before the closing time of the normal market or if the client's margin is evaporated by 90% in any of exchanges, ..... reserves the right to square off positions.
4. Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security due to any action on account of unusual trading activity or stock hitting circuit filters or for any other reason as prescribed or instructed by SEBI.
5. The stock broker is entitled to disable / freeze the account or trading facility / any other service if, in the opinion of the stock broker, the client has committed a crime, fraud or has acted in contradiction of this agreement or / evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

Any profit/loss arising out of these transactions shall be at the risk of and borne by the client.

**8. Temporarily suspending or closing a client's account at the client's request**

Client may instruct the member to close out the account or suspend the trading through client's account for the period as specified in the request in written and duly signed by him.

The stock broker can with hold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

**9. Policy regarding treatment of inactive accounts:**

When Trade is not done in an account for more than 12 months, Stock Broker reserves the right to temporarily suspend the operations. Steps shall be initiated to transfer the funds/securities if any lying with the member to designated bank/demat account of the client after due verification. The Management may allow operations in such account after making such verification as it deems fit.

**10. Deregistering a client**

A client is at liberty to deregister himself / itself from the member. For that purpose client will be liable first to settle his account in full. In case of any shortfall or any dues or payment remaining after adjusting the margin account, the client will be liable to make payment of the same. And in case of surplus arising out after netting of account, client shall be entitled to receipt of the same.

The member shall also have power to deregister the client after settling his account at its sole discretion.

**DISCLOSURE OF PROPRIETARY TRADING BY ACSPL**

Dear Client,

In term of SEBI circular No. SEBI/MRD/SEC/Cir-42/2003 dated 19th November, 2003, member is required to disclose to its client about the proprietary trades.

In view of this circular, we wish to inform you that, we do proprietary trades in the Cash, F&O and currency derivatives segment of NSE, BSE & MSEI.

I have noted the above \_\_\_\_\_

5 ✓ \_\_\_\_\_  
Sole / First Applicant Signature

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

**PMLA - DECLARATION**

I \_\_\_\_\_ having the trading code no. \_\_\_\_\_ with ACSPL confirm and declare that I have read and understood the contents and the provisions of the PMLA Act, 2002 and it was also explained by AFSPL official. I further declare that I shall adhere to the rules and regulations and requirements mentioned in the PMLA Act, 2002.

6 ✓ \_\_\_\_\_  
Clients Signature

**BROKERAGE STRUCTURE**

**Capital Market Segment**

Trading Account	%	Minimum Paisa
1. Square off same day <input type="checkbox"/> Each Side <input type="checkbox"/> One Side	<input type="text"/>	<input type="text"/>
2. Delivery	<input type="text"/>	<input type="text"/>
3. Trade to Trade	<input type="text"/>	<input type="text"/>
4. Flat Brokerage Per Trade	Order Value in Multiples	
	(In Rs.)	(In Rs.)
Intraday	<input type="text"/>	<input type="text"/>
Delivery	<input type="text"/>	<input type="text"/>

**F&O Segment**

Trading Account	Future %	Min.
1. Brokerage	<input type="text"/>	<input type="text"/>
2. Square off same day <input type="checkbox"/> Each Side <input type="checkbox"/> One Side	<input type="text"/>	
	Option %	Min.
	<input type="text"/>	<input type="text"/>
Flat Brokerage	Per Trade	Order Value in Multiples
	(In Rs.)	(In Rs.)
F&O	<input type="text"/>	<input type="text"/>

**CURRENCY SEGMENT**

Trading Account	Future %	Min.
1. Brokerage	<input type="text"/>	<input type="text"/>
2. Square off same day <input type="checkbox"/> Each Side <input type="checkbox"/> One Side	<input type="text"/>	

- Note:
- Exchange turn over charges, clearing member charges and SEBI turnover fees as applicable from time to time shall be charged separately.
  - Stamp duty will be levied as per local laws.
  - All other legal levies as, may be applicable, from time to time shall be charged separately.
  - Late payment penalty @ 18% p.a. calculated on daily overdue balance shall be charged till actual realisation.
  - In case an internet trading terminal is provided, connectivity charges @Rs. \_\_\_\_\_/- per month or \_\_\_\_\_% of turn over shall be charged separately.
  - Charges/ service standards are subject to revision at sole discretion of Akshat Capital Services Private Ltd.
  - Charges quoted above are for the services listed. Any service not quoted above will be charged separately.

Signature of Client

7 ✓

**AUTHORISATION FOR ELECTRONIC COMMUNICATION**

To,

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

**Akshat Capital Services Private Ltd.**

Corporate Office : A-78, Green Valley,  
Kaushambi, Ghaziabad-201010

**Sub : Authorisation for Electronic Communication**

Dear Sir,

I/We understand that I/We have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/We hereby opt for receipt of contract notes in electronic form as well as all other communications including but not limited to account statement, holding statement, trade, order confirmations and any other notices also electronically.

I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account on your record for sending the contract notes and other communications to me/us.

1. ....
2. ....

I/We agree not to hold you responsible for late / non-receipt of contract notes sent in electronic form and any other communication for any reason including but no limited to failure of email servers, loss of connectivity, email in transit etc. I/We agree that the Log Reports of your dispatching software shall be a conclusive proof of dispatch of Contract Notes and any other electronic communication to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt / delayed receipt for any reason whatsoever.

I/We also agree that non-receipt of bounced mail notification by the stock broker shall amount to delivery at my/our e-mail id.

Please treat this authorisation as written ratification of my/our verbal directions / authorizations given and carried out by you earlier. I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our directions given above.

I/We agree to inform you any change in my email in future either in physical mode by regd. post or by hand delivery or through an email from my email id registered with you.

Thanking you

Yours faithfully,



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

**RUNNING ACCOUNT AUTHORISATION**

To,

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

**Akshat Capital Services Private Ltd.**

Corporate Office : A-78, Green Valley,  
Kaushambi, Ghaziabad-201010

**Sub : 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 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 retain securities with you for my/our margin/pay-in/other-future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporation unless I/We instruct you to transfer the same to my/our account.
3. I/We request you to settle my fund and securities account except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt atleast
  - Once in every calander quarter** or
  - Once in a calender month.**
4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet future margin /settlement obligations computed in the manner as prescribed by SEBI/Exchange from time to time.
5. I/We further authorise you to retain such minimum value of funds/securities at the time of settlement of a/c's as may be allowed by the exchange(s)/SEBI from time to time.

The running account authorisation provided by me shall continue and remain valid until it is revoked by me anytime in writing.

Thanking you

Yours faithfully,

 \_\_\_\_\_

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

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

**LETTER OF AUTHORITY**

To,

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

**Akshat Capital Services Private Ltd.**

**Corporate Office :** A-78, Green Valley,  
Kaushambi, Ghaziabad-201010

**Sub : Letter of Authority - NSE / BSE / MSEI**

I/We am/are dealing in shares/securities with you at NSE/BSE/MSEI in various segments and in order to facilitate ease of operations. We authorize you as under :

**1. Delivery of order/ trade confirmation/ cancellation:**

I/We hereby authorize 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 and confirmation issued by you.

**2. Telephonic Conversation:**

I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.

**3. Adjustment of balances in Family Accounts:**

S. No.	Client Code of Family Members/ Associates	Name of Family Members/ Associates	Category	Name of Father / Spouse

I/We authorize you to adjust the credit balance available in my account of any segment against any debit balance/ margin obligation of any segment outstanding in the account of above mentioned family members or any other party or company with whom /in which I'm having the controlling interest as director the names of which are listed here below :

.....  
.....

**4. Fines & Penalties:**

All fines/penalties and charges levied upon you due to my acts / deeds or transactions may be recovered by you from my account.

**5. Charges & Balance Maintenance:**

I/We have a Trading As well as depository relationship with ..... Please debit the charges relevant with depository services from my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my/our trading account / pay adequate advance fee for the said reason.

**6.** I/We have been explained that I/We may not opt to give any of the above authorisation and that the above authorisations are voluntary on my/our part and that I/We can revoke this authorisation at any point of time during the operation of my/our trading account with you by giving you a notice in writing.

Thanking you,  
Yours faithfully

 \_\_\_\_\_



PAN  Trading  DP Code

Name

Place of Birth  Country of Birth

Nationality

Annual Income  Below Rs. 1 Lac  Rs. 1 Lac to 5 Lac  Rs. 5 Lac to 10 Lac  
 Rs. 10 Lac to 25 Lac  Rs. 25 Lac to 1 Crore  > 1 Crore

Net Worth **Amount Rs.**..... Net Worth as on ||||||||||  
*(Net worth should not be older than 1 year)*

Occupational  Business  Private Sector  Professional  Government Service  Public Sector  
 Detail  Agriculturist  Housewife  Student  Retired  Forex Dealer  Others Pl. Specify

Politically Exposed Person (PEP)  Related to Politically Exposed Person (RPEP)

Are you a tax resident of any country other than India  Yes  No

If yes please indicates the all countries in which you are resident for tax purpose and the associated Tax ID number below.

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.			
2.			
3.			

### 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 Akshat Capital Services Private 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).

Date : |||||||

Place :

For Investor convenience, Akshat Capital Services Private Ltd. collecting this mandatory information for updating across all Group Companies of Akshat Capital Services Private Ltd. whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest Akshat Capital Services Private Ltd. branch or you can dispatch the hard copy to-

**Akshat Capital Services Private Ltd.  
 A-78, Green Valley, Kaushambi, Ghaziabad-201010 (U.P.)**

• For Detail Terms & Conditions please visit [www.akshatcapitalservices.com](http://www.akshatcapitalservices.com)



# FATCA & CRS Declaration - Non Individual

PAN                        Trading            DP Code

Name

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India  Yes  No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other <sup>s</sup> , please specify)
1.			
2.			

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

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

## 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"/> 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)	<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 _____ _____ <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 I A of Part C)
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## 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 ( <i>that is, a company whose shares are regularly traded on an established securities market</i> ) (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 ( <i>a company whose shares are regularly traded on an established securities market</i> ) (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 %			
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>5</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.

<sup>6</sup> In case Tax Identification Number is not available, kindly provide functional equivalent

<sup>5</sup> Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

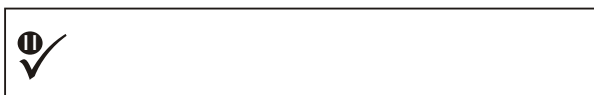
### DECLARATION

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 Akshat Capital Services Private 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 (AEOL).

Name

Designation



Date :

Place :

For Investor convenience, Akshat Capital Services Private Ltd. collecting this mandatory information for updating across all Group Companies of Akshat Capital Services Private Ltd. whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest Akshat Capital Services Private Ltd. branch or you can dispatch the hard copy to-

**Akshat Capital Services Private Ltd.**

**A-78, Green Valley, Kaushambi, Ghaziabad-201010 (U.P.)**

• For Detail Terms & Conditions please visit [www.akshatcapitalservices.com](http://www.akshatcapitalservices.com)

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**CHECK LIST FOR CLIENT REGISTRATION FORM**

I.	CHECKING DETAILS	YES	REMARKS
a)	Name as it appears on the ID & Address Proof (in capital letter)		
b)	Signature of Client on all pages and wherever necessary (Witness wherever required) <input type="checkbox"/>		
c)	Signature Checked and Verified.		
d)	Photograph (duly signed) <input type="checkbox"/>		
e)	A copy of PAN Card (Self Attested) <input type="checkbox"/>		
f)	Address Proof (Self Attested) <input type="checkbox"/>		
g)	Bank Proof containing Client Name (Self Attested) <input type="checkbox"/>		
h)	Demat Account Proof (Self Attested) <input type="checkbox"/>		
2.	<b>Details Punched in Computer by TM</b> _____ <b>DP</b> _____		
3.	<b>Cross Checking done by TM</b> _____ <b>DP</b> _____		
4.	<b>UCC UPLOADED :</b> <input type="checkbox"/> NSE <input type="checkbox"/> BSE <input type="checkbox"/> MSEI <input type="checkbox"/> FO	<input type="checkbox"/> ENTERED IN FORM DATA	
5.	<b>DP WEB LOGIN</b> User Name ID _____ Password _____		
6.	<b>Client Instruction Book issued by</b>		
7.	<b>Client Account Status Report issued by</b>		

Branch Head / Sub-broker Name : .....

Client Name : .....

Client Code : .....

Date of Registration : .....

### OUR SERVICES

- Equities
- Derivatives
- Commodities
- Currency Derivatives
- Online Trading



## AKSHAT CAPITAL SERVICES PRIVATE LTD.

(CIN : U93000UR2009PTC033415)

**Member : MSEI** (Capital Market, F&O and Currency Derivatives Segment)

SEBI Regn. No.: INB 261478433 / INF 261478433 / INE 261394436

**Member : BSE** (Capital Market, F&O and Currency Derivatives Segment)

SEBI Regn. No.: .....

**Member : NSE** (Capital Market, F&O and Currency Derivatives Segment)

SEBI Regn. No.: .....

**Regd. Office :** 168, Indra Nagar, Dehradun, Uttarakhand-248006

Phone : +91-135-2760684, Fax : +91-135-2760684

**Corporate Office :** A-78, Green Valley, Kaushambi, Ghaziabad-201010

Phone : +91-120-4357951, Fax : +91-120-4321848

**E-mail :** [info@akshatcapitalservices.com](mailto:info@akshatcapitalservices.com) • **Website :** [www.akshatcapitalservices.com](http://www.akshatcapitalservices.com)



**ACKNOWLEDGEMENT**

To,

**Akshat Capital Services Private Ltd.**

Dated : .....

**Corporate Office** : A-78, Green Valley, Kaushambi, Ghaziabad-201010

Dear Sir,

I/We hereby acknowledge the receipt of Right and Obligations, Risk Disclosure Document and Guidance Note with duly executed copy of KYC and other documents. Further I/We confirm that the supporting documents for KYC submitted by me/us are true and correct. I/We acknowledge that the other details related to my/our account are as under:

Name..... Address.....

.....Trading Code.....

UCC..... My Email Id.....

✓  
\_\_\_\_\_  
(Signature of Client)