

Client Registration Form : Trading & Demat Account



RIGHT STEP TOWARDS WEALTH CREATION

For Office Use Only		
Cash	<input type="checkbox"/> NSE	<input type="checkbox"/> BSE
F & O	<input type="checkbox"/> NSE	<input type="checkbox"/> BSE
Currency	<input type="checkbox"/> NSE	<input type="checkbox"/> BSE
Commodity	<input type="checkbox"/> MCX	<input type="checkbox"/> NCDEX
Demat	<input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL

Client Name : _____

Client Code : _____ Date : _____

BO ID : 12043700 / IN303833 : _____

Introducer Name : _____

Branch : _____ City : _____

Swastika Investmart Limited

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- 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.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- 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.
- Sole proprietor must make the application in his individual name & capacity.
- 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.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- 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.
- 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 :

- PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
- Unique Identification Number (UID) (Aadhaar) / Passport/ Voter ID card/ Driving License.
- 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)

- Passport/Voters Identity Card / Ration Card / Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance Bill / Insurance Copy.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.

- Bank Account Statement/Passbook - Not more than 3 months old.
- 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.
- 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.
- The proof of address in the name of the spouse may be accepted.

D. Exemptions/Califications 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 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 Rs. 50,000/- p.a.
- In case of Institutional client, 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 authorised to attest the documents:

- 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).
- In case of NRIs, authorised 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. Instructions for Bank A/c Details :

- Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
 - Photocopy of the Bank Statement having name and address of the BO
 - Photocopy of the Passbook having name and address of the BO, (or)
 - Letter from the Bank.
- In case of option 2, 3 & 4 above, MICR code of CFSL the branch should be present / mentioned on the document.

F. In case of non-individuals, additional documents to be obtained from non-individual, over & above the POI & POA, as mentioned below:

Type of entry	Documentary Requirements
Corporate	Copy of the balance sheets for the last 2 financial years (to be submitted every year) Copy of latest holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year) Photograph, POI, POA and DIN numbers of whole time director/two director in charge of day to day operations. Photograph, POI, POA, PAN of individual Promoters holding control - either directly or indirectly Copy of the Memorandum and Articles of Association and certificate of incorporation. Copy of the Board Resolution for investment in securities market Authorised signatories list with specimen signatories
Partnership Firm	Copy of the balance sheets for the last 2 financial years (to be submitted every year) Copy of partnership deed Authorised signatories list with specimen signatures Photograph, POI, POA, PAN of Partners.
Trust	Copy of the balance sheets for the last 2 financial year (to be submitted every year) Certificate of registration (for registered trust only) Copy of trust deed List of trustees certified by managing trustees /CA Photograph, POI, POA, PAN of Trustees
HUF	PAN of HUF Deed of declaration of HUF/List of coparceners Bank Pass Book / Bank Statement in the name of HUF Photograph, POI, POA, PAN of Karta
Unincorporated Association or a body of individuals	Proof of Existence /Constitution document Resolution of the managing body & Power of Attorneys to transact business on its behalf Authorised signatories list with specimen signatures.
Bank / Institutional Investors	Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years Authorised signatories list with specimen signatures
Foreign Institutional Investors (FII)	Copy of SEBI registration certificate Authorized signatories list with specimen signatures
Army / Government Bodies	Self -certification on letterhead Authorized signatories list with specimen signatures
Registered Society	Copy of Registration Certificate under Societies Registration Act List of Managing Committee members Committee resolution for persons authorised to act as authorised signatories with specimen signatures True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

FOR HEAD OFFICE USE ONLY

Client Code _____	BO ID : 12043700/IN303833 _____
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	Date	Name	Signature
KYC Received			
Phone Verification			
KYC Punched			
UCC Upload			
KRA Upload			
CKYC Upload			
KYC Audit			
DP Audit			

INTRODUCER DETAILS
Status of Introducer ☐ Sub-broker/Authorised Person ☐ Employee ☐ Existing Client ☐ Others (Specify):
Introducer Name :

Address:

Mobile No:

Mail ID :

Rubber Stamp

Signature of the Introducer



For : Swastika Investmart Ltd. /Authorised Persaon

Date

Authorised Signatory

(01)




INDEX OF DOCUMENTS


S. No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	KRA Form and Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction/check list.	3 to 7
		B. Document captures the additional information about the constituent relevant to Trading/ Demat account and an instruction/check list.	
2.	Policies and Procedures	Document describing significant policies and procedures for client dealing in all Exchanges	8
3.	Rights and Obligations Documents of BO & DP	Rights & obligations documents of BO & DP for a person seeking to open a beneficial owner's account. (for opening of Demat Account)	SEPARATE COPY FOR CLIENT
4.	Rights and Obligations of Members, Authorized persons and Clients	Document stating the Rights & Obligations of Member/ Authorised person/Sub Broker and Client for trading on Exchanges (including addition rights & obligations in case of internet/wireless technology based trading).	
5.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities / commodities market.	
6.	Guidance Note - Do's and Don'ts	Document detailing do's and don'ts for trading on Exchange, for the education of the investors.	
7.	Tariff Sheet	Document detailing the rate/amount of brokerage & other charges levied on the client for trading on Exchanges & DP Service charges/Fee Structure	14-15

VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER

1.	Voluntary Terms & Conditions	Additional terms & conditions specific to client for the purpose of operational efficiency.	9 to 12
2.	Running Account Authorisation / Fatca / CRS Declaration	Authorisation to maintain Running Account/ Fatca Declaration	12
3.	Power of Attorney	Power of Attorney for pay in of securities for the purpose of settlement obligation (for Demat Account Holder only)	13
4.	KRA Form for HUF	KRA Application Form for HUF (Non Individual Only)	16

Instructions for Applicant :

- Please sign the application form on the placed market as  for trading & demat Account ,  For Demat Second Account Holder,  for Demat Third Account Holder .
- Signature can be English or Hindi or in any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
- All fields provided in the Client "KYC" (Know Your Client) Form and Agreement together with other Letters/Undertaking/Authorization Should be duly filled. In case of Information in a field no being available, the words "N.A." or "NIL" should be mentioned. Any correction / overwriting also should be authenticated by the client by signing besides such correction.
- Signature should be preferably in black ink.
- Details of the Names, Address, Telephone Number(s) etc. of the Magistrate/Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
- In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
- In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
- All correspondence / queries shall be addressed to the first / sole applicant.
- Strike off whichever option, in the account opening form, is not applicable.

Know Your Client (KYC) Application Form (For Individuals Only)					
Please fill in ENGLISH & BLOCK LETTERS with Black/Blue Ink & tick the appropriate options, All fields are mandatory			Application Type <input type="checkbox"/> New <input type="checkbox"/> Update		
A. IDENTITY DETAILS					
I /We request you to open a Trading and Demat account In my/our name as per the following details : Date					
1. Name of Applicant					
2. Maiden Name					
3. Father's/Spouse Name					
4. Mother Name					
5. a. Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender				
b. Date of Birth	c. Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married				
6. Nationality	<input type="checkbox"/> Indian 7. Status <input type="checkbox"/> Resident Individual <input type="checkbox"/> Minor				
8. PAN	Aadhaar				
<div style="float: right; text-align: right;">  PHOTOGRAPH Please affix your recent passport size photograph and sign across it Signature of First/Sole Holder (1/34) </div>					
Specify the proof of identity submitted <input type="checkbox"/> Passport <input type="checkbox"/> Driving Licence <input type="checkbox"/> Voter ID <input type="checkbox"/> Other No.					
B. ADDRESS DETAILS					
1. Current Residence/ Correspondence Address					
City/Town/Village				District	
Pin Code		State		Country	INDIA/
2. Permanent Address (if different from above correspondence address)	<input type="checkbox"/> Same as Current Address				
City/Town/Village				District	
Pin Code		State		Country	INDIA/
3. Specify the proof of address submitted <input type="checkbox"/> Passport <input type="checkbox"/> Driving Licence <input type="checkbox"/> Other No.					
C. Contact Details					
Mobile No.				Tel. (Office)	
Email Id				Tel. (Res.)	
DECLARATION I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address					
Date	Place			Signature of Applicant (2/34)	
FOR OFFICE / SUB BROKER / AUTHORISED PERSON USE ONLY					
Particulars	Documents Verified with Originals		Client Interviewed By & In-Person Verification done by		
Name of Employee/AP					
Employee Code/AP No.					
Designation					
Date					
Signature					
<div style="border: 1px solid black; padding: 10px; text-align: center;"> Seal/Stamp of the intermediary should contain Staff Name Designation Name of the Organization Signature Date Seal / Stamp </div>					



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


Please fill in **ENGLISH & BLOCK LETTERS**

Application Type ☐ New ☐ Update

with Black/Blue Ink & tick the appropriate options, All fields are mandatory **SECOND HOLDER/GUARDIAN (if minor)**

A. IDENTITY DETAILS

I /We request you to open a Trading and Demat account in my/our name as per the following details : Date

1. Name of Applicant		PHOTOGRAPH Please affix your recent passport size photograph and sign across it  (1/34)	
2. Maiden Name			
3. Father's/Spouse Name			
4. Mother Name			
5. a. Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender b. Date of Birth c. Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married			
6. Nationality <input type="checkbox"/> Indian	7. Status <input type="checkbox"/> Resident Individual <input type="checkbox"/> Minor		
8. PAN		Aadhaar	
Specify the proof of identity submitted <input type="checkbox"/> Passport <input type="checkbox"/> Driving Licence <input type="checkbox"/> Voter ID <input type="checkbox"/> Other No.			

B. ADDRESS DETAILS





















1. Current Residence/ Correspondence Address			
City/Town/Village			
Pin Code		State	Country INDIA/
2. Permanent Address (if different from above correspondence address) <input type="checkbox"/> Same as Current Address			
City/Town/Village			
Pin Code		State	Country INDIA/
3. Specify the proof of address submitted <input type="checkbox"/> Passport <input type="checkbox"/> Driving Licence <input type="checkbox"/> Other No.			

C. Contact Details

Mobile No.	Tel. (Office)
Email Id	Tel. (Res.)
DECLARATION I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address	
Date	Place
Signature of Applicant	

FOR OFFICE / SUB BROKER / AUTHORISED PERSON USE ONLY

Particulars	Documents Verified with Originals	Client Interviewed By & In-Person Verification done by	Seal/Stamp of the intermediary should contain Staff Name Designation Name of the Organization Signature Date Seal / Stamp
Name of Employee/AP			
Employee Code/AP No.			
Designation			
Date			
Signature			

TRADING & DEMAT ACCOUNT RELATED DETAILS					
TYPE OF ACCOUNT <input checked="" type="checkbox"/> Individual		Sub Status <input type="checkbox"/> Resident <input type="checkbox"/> Other			
A. BANK ACCOUNT DETAILS					
Bank 1 : Bank Name & Branch Location					
Account No.			<input type="checkbox"/> Savings <input type="checkbox"/> Current		
MICR Code			IFSC Code		
Bank 2 : Bank Name & Branch Location					
Account No.			<input type="checkbox"/> Savings <input type="checkbox"/> Current		
MICR Code			IFSC Code		
B. DEPOSITORY ACCOUNT DETAILS (DP1 DETAILS CONSIDERED FOR PAYOUT OF SECURITIES IF FILLED)					
	DP 1 Details		DP 2 Details		
Depository	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL		<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL		
DP Name	Swastika Investmart Limited				
Client Name					
DP ID	IN 303833 / 12043700				
Client ID					
C. REPOSITORY ACCOUNT DETAILS (RP1 DETAILS CONSIDERED FOR PAYOUT OF SECURITIES IF FILLED)					
	RP 1 Details		RP 2 Details		
Repository	<input type="checkbox"/> NERL <input type="checkbox"/> COMRIS / CCRL		<input type="checkbox"/> NERL <input type="checkbox"/> COMRIS / CCRL		
RP Name	Swastika Investmart Limited				
Client Name					
RP ID	RP 65 / 43700				
Client ID					
D. TRADING PREFERENCES					
Segment Exchange	Capital Market	Derivatives Market	Currency Derivatives	MUTUAL FUND	Commodity Derivatives (Future & Options)
1. NSE	 (03/34)	 (04/34)	 (05/34)	 (06/34)	 (07/34)
2. BSE	 (08/34)	 (09/34)	 (10/34)	 (11/34)	 (12/34)
3. MCX	 (13/34)	 (14/34)	 (15/34)	 (16/34)	 (17/34)
4. NCDEX	 (18/34)	 (19/34)	 (20/34)	 (21/34)	 (22/34)
If, in future, the client wants to trade on any New Segment/New Exchange, separate authorization/ letter will be taken.					
I/We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be "Yes")				(Automatic Credit) <input type="checkbox"/> Yes <input type="checkbox"/> No	
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (If not marked, the default option would be "No")				<input type="checkbox"/> Yes <input type="checkbox"/> No	
I/We wish to receive dividend / interest directly into my bank account as given below through ECS (If not marked, the default option would be "Yes") [ECS is mandatory for locations notified by SEBI from time to time]				<input type="checkbox"/> Yes <input type="checkbox"/> No	

E. PROOF OF FINANCIAL DETAILS (Attached any one of the below. Mandatory for trading in F&O / Currency segment)								
<input type="checkbox"/> ITR Acknowledgment <input type="checkbox"/> Demat holding statement <input type="checkbox"/> Salary Slip <input type="checkbox"/> Bank Account Statement (for last 6 months) <input type="checkbox"/> Self declaration along with relevant supporting								
F. 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 : <input type="checkbox"/> No <input type="checkbox"/> Yes If yes, please specify								
G. DEALING THROUGH SUB BROKER / AUTHORISED PERSON (AP) / OTHER STOCK BROKERS								
If Yes, please specify:								
Name of Stock Broker	Name of SB/AP							
Name of Exchange	Client Code (as given by other broker)							
Details of disputes/dues pending from/to such stock broker/sub-broker:								
Whether you are a Member / Sub-broker / AP of any Exchange <input type="checkbox"/> Yes <input type="checkbox"/> No								
If yes, provide SEBI REGISTRATION NO:								
H. GOODS & SERVICE TAX REGISTRATION DETAILS :								
Registration No	Validity Date	Name of the State						
CGST								
IGST								
UGST / SGST								
Any Other Registration								
I. STANDING INSTRUCTIONS / OTHER DETAILS / EMAIL-SMA ALERT / CONTRACT NOTE PREFERENCE								
Contract Note / Holding & Transaction Statement	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical							
Receive Delivery Instruction Slip	<input type="checkbox"/> No <input type="checkbox"/> Yes							
Share Email ID with Registrar & Transfer Agent	<input type="checkbox"/> No <input type="checkbox"/> Yes							
Receive Annual Report	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical							
DP Accounts Statement	<input type="checkbox"/> Monthly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Weekly <input type="checkbox"/> As per SEBI Regulation							
Declaration for Mobile Number	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent							
I/We wish to avail basic services Demat A/c facility <input type="checkbox"/> No <input type="checkbox"/> Yes								
SMS Alert Facility	Mobile No. +91..... [(Mandatory, if you are giving DDPI) (if DDPI is not granted & you do not wish to avail of this facility, cancel this option).							
Transactions Using Secured Texting (TURST) Facility Refer to Terms and Conditions Annexure - 2.6	I wish to avail the TURST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my / our below mentioned BO ID registered for TURST							
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Stock Exchange Name / ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)				
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)						
I have read and understood the Terms and Conditions prescribed by CDSL. Refer - https://www.cdslindia.com/downloads/Operating%20Instruction/Annexures-as-of-June-2016_1.pdf								
Easi	To register for easi, please visit our website : www.cdslindia.com Easi allows a BD to view his ISIN balances, transactions and value of the portfolio online.)							
Type of Account :	<input type="checkbox"/> Ordinary Resident <input type="checkbox"/> NRI - Repatriable <input type="checkbox"/> NRI - Non Repatriable <input type="checkbox"/> Qualified Foreign Investor <input type="checkbox"/> Foreign National <input type="checkbox"/> Promoter <input type="checkbox"/> Margin <input type="checkbox"/> Others (Please specify)_____							

J. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002					
Experience	Number of years of Investment / Trading Experience Years				
Gross Annual Income	Below 1 lac 1-5 Lacs 5-10 Lacs 10-25 Lacs >25 Lacs				
	OR Net Worth in Rs. as on date <small>(*Net worth should not be older than 1 year)</small>				
Occupation (Please Tick)	Govt Service Public Sector Housewife	Professional Business Student	Private Sector Service Retired Others _____	Agriculturist (Pis Specify)	
Nature of Business	Manufacturing	Services	Trading	Consultancy	Others _____
Is the Client Politically Exposed Person (PEP) or Related to PEP Yes No UNSCR CHECKED					
DECLARATION					
<p>I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP/Stock broker any change(s) in the details / particulars mentioned by me / us in this form. I/We further agree that any false/misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action and I/We may be held liable for such information/representation.</p> <p>I/We have received, read and understood the 'Rights and Obligations Document' for trading and DP Services, 'Risk Disclosure Document', 'Guidance Note' and agree to abide by and be bound by the same and by the Bye-Laws as are in force from time to time. I/We also confirm having read/been explained and understood the contents of the document on policy and procedures of the stockbroker and the tariff sheet. I / We have also the informed that the standard set of documents has been displayed for information on stock. I/We also declare that I/We complied and will continue to comply with FEMA Regulations.</p>					
Date:					
Place:					
(Third Holder Signature)		(Second Holder Signature)		(First/Sole Holder Signature)	




NOMINEE DETAILS FOR TRADING AND DEMAT ACCOUNT

Date	D	D	M	M	Y	Y	Y	Y	DP ID					Client ID					
<input type="checkbox"/> I/We wish to make a nomination <input type="checkbox"/> I/We do not wish to make any nomination																			
Name of Nominee															Share of Nominee %				
Address															<input type="checkbox"/> Same as 1st Holder Address <input type="checkbox"/> Else fill below details				
City										Pin Code									
Relationship with the Applicant																			
Date of Birth																			
Mobile / Tel. No. of Nominee																			
E-mail ID of Nominee															PHOTOGRAPH Please affix your recent passport size photograph and sign across it				
Nominee Identification details (Please tick any one of the following and provide details of the same)																			
<input type="checkbox"/> Photograph and Signature <input type="checkbox"/> PAN <input type="checkbox"/> Address <input type="checkbox"/> Saving Bank A/c. No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID																			
Guardians details (if Nominee is a minor)																			
Date of Birth of Guardian (in case of minor)																			
Name of Guardian																			
Address of Guardian																			
Mobile / Tel. No. of Guardian																			
E-mail ID of Guardian																			
Relationship of Guardian with Nominee																			
Guardian Identification details (Please tick any one of the following and provide details of the same)										Nomination Registration No.					PHOTOGRAPH Please affix your recent passport size photograph and sign across it				
<input type="checkbox"/> Photograph and Signature <input type="checkbox"/> PAN <input type="checkbox"/> Address <input type="checkbox"/> Saving Bank A/c. No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID										Date DD / MM / YYYY									
<input type="checkbox"/> This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us. Place Date																			
										Name(s) of Holder (s)					Signature(s) of Holder (s)				
Sole / First of Holder															✍️ (26/34)				
Second Holder															✍️				
Third Holder															✍️				
Signature of Witnesses for Nomination																			
Name & Address of Witness															Signature of Witness				
1																			
Please see instructions at Page No. 21 to fill Nomination Form Note : In case of more than one nominee than separate form will be attached. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.																			

NOMINEE DETAILS FOR TRADING AND DEMAT ACCOUNT

Date	D	D	M	M	Y	Y	Y	Y	DP ID					Client ID					
<input type="checkbox"/> I/We wish to make a nomination <input type="checkbox"/> I/We do not wish to make any nomination																			
Name of Nominee															Share of Nominee %				
Address															<input type="checkbox"/> Same as 1st Holder Address <input type="checkbox"/> Else fill below details				
City										Pin Code									
Relationship with the Applicant																			
Date of Birth																			
Mobile / Tel. No. of Nominee																			
E-mail ID of Nominee															PHOTOGRAPH Please affix your recent passport size photograph and sign across it				
Nominee Identification details (Please tick any one of the following and provide details of the same)																			
<input type="checkbox"/> Photograph and Signature <input type="checkbox"/> PAN <input type="checkbox"/> Address <input type="checkbox"/> Saving Bank A/c. No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID																			
Guardians details (if Nominee is a minor)																			
Date of Birth of Guardian (in case of minor)																			
Name of Guardian																			
Address of Guardian																			
Mobile / Tel. No. of Guardian																			
E-mail ID of Guardian																			
Relationship of Guardian with Nominee																			
Guardian Identification details (Please tick any one of the following and provide details of the same)										Nomination Registration No.					PHOTOGRAPH Please affix your recent passport size photograph and sign across it				
<input type="checkbox"/> Photograph and Signature <input type="checkbox"/> PAN <input type="checkbox"/> Address <input type="checkbox"/> Saving Bank A/c. No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID										Date DD / MM / YYYY									
<input type="checkbox"/> This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us. Place Date																			
										Name(s) of Holder (s)					Signature(s) of Holder (s)				
Sole / First of Holder															✍️ (26/34)				
Second Holder															✍️				
Third Holder															✍️				
Signature of Witnesses for Nomination																			
Name & Address of Witness															Signature of Witness				
1																			
Please see instructions at Page No. 21 to fill Nomination Form Note : In case of more than one nominee than separate form will be attached. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.																			

NOMINEE DETAILS FOR TRADING AND DEMAT ACCOUNT

Date	D	D	M	M	Y	Y	Y	Y	DP ID					Client ID					
<input type="checkbox"/> I/We wish to make a nomination <input type="checkbox"/> I/We do not wish to make any nomination																			
Name of Nominee															Share of Nominee %				
Address															<input type="checkbox"/> Same as 1st Holder Address <input type="checkbox"/> Else fill below details				
City										Pin Code									
Relationship with the Applicant																			
Date of Birth																			
Mobile / Tel. No. of Nominee																			
E-mail ID of Nominee															PHOTOGRAPH Please affix your recent passport size photograph and sign across it				
Nominee Identification details (Please tick any one of the following and provide details of the same)																			
<input type="checkbox"/> Photograph and Signature <input type="checkbox"/> PAN <input type="checkbox"/> Address <input type="checkbox"/> Saving Bank A/c. No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID																			
Guardians details (if Nominee is a minor)																			
Date of Birth of Guardian (in case of minor)																			
Name of Guardian																			
Address of Guardian																			
Mobile / Tel. No. of Guardian																			
E-mail ID of Guardian																			
Relationship of Guardian with Nominee																			
Guardian Identification details (Please tick any one of the following and provide details of the same)										Nomination Registration No.					PHOTOGRAPH Please affix your recent passport size photograph and sign across it				
<input type="checkbox"/> Photograph and Signature <input type="checkbox"/> PAN <input type="checkbox"/> Address <input type="checkbox"/> Saving Bank A/c. No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID										Date DD / MM / YYYY									
<input type="checkbox"/> This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us. Place Date																			
										Name(s) of Holder (s)					Signature(s) of Holder (s)				
Sole / First of Holder															 (26/34)				
Second Holder																			
Third Holder																			
Signature of Witnesses for Nomination																			
Name & Address of Witness															Signature of Witness				
1																			
Please see instructions at Page No. 21 to fill Nomination Form Note : In case of more than one nominee than separate form will be attached. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.																			

**POLICIES AND PROCEDURES FOR CLIENT DEALINGS ALL EXCHANGES - MANDATORY
(as required by SEBI circular MIRSD / SE / Cir-19/2009 dated December 3, 2009)**

- 1. Delayed payment charges / Penalty:** The Client agrees that without prejudice to any other remedy or right prescribed in the present, the trading member may charge interest on delayed payment / penalty charges on the debit balance of the client which is not settled as per exchange norms, upto 36% per annum.
- 2. Penny / Illiquid Stocks:** The Client Understands and agrees that the trading member may at any time at its sole discretion and without prior notice, refuse, prohibit or restrict the client's ability to place orders or trades in penny / illiquid stocks. For this purpose penny / illiquid stock means stocks which are appearing in the list of illiquid securities issued by the exchanges every months.
- 3. Setting up exposure Limit:** The client is aware & agrees that the trading member may need to vary or reduce the exposures limit or impose new limits urgently on the basis of trading members risk perception and other factors considered relevant by the stock brokers. The trading member may be unable to inform the client of such variation, reduction or imposition in advance.
- 4. Brokerage rate:** The client understands and agrees that the trading member charge brokerage and other statutory charges and levies as per the rates mentioned in the schedule of charges/tariff sheet. Any change in brokerage will be with the consent of client.
- 5. Position Square off:** The client is aware and agrees that in case of debit balance in client account, non payment of margin or client's dues as per exchange norms, the trading member may sell client securities or close client's position, without giving any notice to the client and loss / profit arise on such transaction will be treated as norms profit / loss of the client.
- 6. Internal Shortage:** In case of internal shortage of securities, any entry passed to the account of the client in accordance with the practice consistently followed by the trading member across all its client shall be binding on the client policy. Further in case of shortage of securities, the client agrees and authorize trading member to buy shares on behalf of the client and debit the amount for the same to the client trading account maintained with the trading member. Detailed internal shortage policy is available at SIL website download section.
- 7. Restrictions on further position or close out:** the client is aware and agrees that in case of insufficient balance in his trading account on account of pay in / MTM margin obligation or non payment of client's dues as per the exchange norms, the trading member may refuse to take further position and / or close the existing position of client to make client account good.
- 8. Temporary Suspension or closing:** The client shall be entitled to temporarily suspend / close his account without giving any reason to the trading member, after giving notice in writing. Notwithstanding any such termination, all rights, liabilities and obligation of the parties arising out of or in respect of transactions entered in to prior to the termination of this Client Registration Documents shall continue to subsist and vest in / be binding on the respective parties.
- 9. Deregistering:** In the event of default under this Client Registration Documents by the client, the trading member shall be completely entitled to any or all of the following course of action:
 - I. Immediate termination of this Client Registration Documents and termination of the provisions or services in terms of this Client Registration Documents.
 - II. Other remedies as may be available in terms of law in force, at that point of time.
 - III. Arbitration in terms of this Client Registration Documents.
- 10. Policy for treatment of inactive accounts and process for reactivation:** If the client has no open position and is inactive for more than one year then the account would be suspended for trading. If there is any credit available in the Client's margin account with us, it would be refunded at the client's request. If the client is desirous of reactivating his account post the suspension, then he will have to send a written request for reactivation.

Client Code

Date:
Place:

Client Signature

 (27/34)

VOLUNTARY TERMS AND CONDITIONS

Whereas the client intends to open securities trading accounts with **Swastika Investmart Limited, (hereinafter referred as SIL)** for the purpose of trading in Capital Market Segment, Futures & Options and Currency Derivative Segments of the National Stock Exchange of India Ltd., the Bombay Stock Exchange Ltd., and the MCX Stock Exchange Ltd. and Mutual Fund transactions Facilities offered by SEBI recognized Stock Exchange and whereas for the purpose of more fully and conveniently availing of the services agreed to be provided by SIL and also the additional services that may be made available by SIL from time to time, the Client, on its own free will and volition, agrees to accept and be bound by the following terms and conditions. The Client understands that these terms and conditions are voluntary i.e, non-mandatory in nature but on their acceptance, these shall constitute the contract between the parties and bind them fully and be enforceable by each party against the other.

1. **Authorization to debit additional charges with regard to Trading and Demat Account:** Without prejudice to the other rights and obligations of the parties, the client understands and agrees that SIL may levy additional charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account for any service rendered by SIL and as may be required by the Client, and recover from the Client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients ledger account with SIL Broking.
2. **Payment by cheque :** Where payment by the client towards margin money is made through cheque / pay order / demand draft issued in favour of SIL only upon realization of the funds of the said cheque / pay order / demand draft.
3. **Lien:** All securities, funds and/or properties of the Client as may be permitted by the Exchange(s) from time to time to be placed with SIL shall be subject to a lien for the payments or fulfillment of all undischarged liabilities and obligations of the Client in relation to its transactions or owing to any of the group companies of SIL. SIL shall be entitled to withhold such securities, funds and/or property of the Client as security towards any such un-discharged liabilities or obligation of the Client and to sell and/or appropriate to itself all such securities, funds or properties at its sole discretion & at any point of time.
4. **Authorization for delivering / pledging shares:** The client understands and agrees that SIL may deliver to the Exchange any securities held by it on behalf of the client to discharge settlement obligations in respect of securities sold by the client or pledge the same with the clearing house of the recognized stock exchange in any segment where the Client is registered for trading for the purpose of providing margin for the trading positions contracted or to be contracted by the Client or with any scheduled commercial bank, Non-Banking Financial Institution or other financial institution for raising funds to the extent account of the client carries debit balance but without any obligation on its part to so raise funds by pledging the securities and without prejudice to the right of SIL to enforce, at its option, the collateral security in the

securities to recover the debit balance at any time.

5. **Authorization for Inter segment fund balance transfer and stock transfers:** The client hereby authorizes SIL to transfer its debit/credit balances in the ledger account arising during the course of trades in any segment to its ledger account in any other segment or to transfer any stock purchased/lying in its account in any segment to its account in any other segment as often as may be required. The transfers may be completed by passing journal entries in the books of SIL.
6. **Disclaimer:** The Client understands and agrees that neither SIL nor any other party disseminating any market data, message or information through the Website of SIL or in any other media shall be liable for:
 - (a) Any inaccuracy, error, omission or delay in the transmission or delivery of any such data, information or message, or
 - (b) **Any loss or damage arising from or occasioned by**
 - (i) Any such inaccuracy, error, delay or omission, (ii) Nonperformance,
 - or (iii) Interruption in making available any such data, information or message, due to either any act or omission by SIL or any disseminating party or to any "force majeure" (e.g. flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labour dispute/unrest, accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of SIL or any disseminating party.
7. **Manner/Mode of placing orders/instructions & Nonexecution/delay/cancellation of Orders:** The Client may communicate orders and other instructions to SIL or the subbroker/ authorised person as the case may be over phone at the designated contact telephone number, or in writing, or through designated email, or by personally visiting the through designated office. The client hereby agrees that SIL or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the online as well as offline trading services, disruptions or congestion of communication net works, hardware or software problems, or failure of the electronic trading system beyond the control of SIL or the Exchange.
8. **Non-execution/delay/cancellation of Orders :** The client hereby agrees that SIL or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, malfunctioning of the online as well as offline trading service, disruptions or congestion of communication net works, hardware or software problems, or failure of the electronic trading system generally in any manner due to one or the other reasons beyond the control of SIL or the Exchange.
9. **Client not to act on representations of agents, employees:** Client is aware that SIL has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of SIL.

- 10. Recording of Conversation:** The client is aware and agrees that SIL may tape record the conversation between the client/client's representative and SIL, whether over the telephone or in person. SIL may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversation or transcript thereof or both as valid evidence of the content of the conversation so recorded.
- 11. Confidentiality of Client Details:** SIL may disclose the client information to any person /entity as required under the law or to any broker's Association or organisations in case of dispute in order to take informed decision. The Client hereby agrees and give its consents for the disclosure by SIL to any person or entity including but not limited to any independent third parties or any entities of SIL Group, whether within or outside India, of any information and data relating to Client or relating to Client's trading account with SIL for the purposes of or in connection with, any present or proposed initiatives, including but not limited to any marketing or cross sell initiatives, business proposals, activities, facilities or services availed of or to be availed, by Client in future.
- 12. Disclosure as to Proprietary Trades by SIL:** SIL carry out proprietary trades in addition to trades on behalf of its Clients.
- 13. Severance:** In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.
- 14. No Waiver:** No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver of any rights, unless the waiver is specifically agreed in writing.
- 15. Notices:** All notices or communications issued by SIL shall be served on the Client in any one or more or all of the following ways at the ordinary business address and/or ordinary place of residence and/or last known address of the client:
- 15.1 (a) By ordinary post or (b) By registered post (c) Under certificate of posting or (d) By express delivery post or (e) by SMS on registered mobile or by telephonic call or (f) By affixing it on the door at the last known business or residential address or (g) By oral communication to the party or on the last known telephone number or on the recording machine of such number or (h) By advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated or (i) By publishing it in the website of SIL wherein secured login-id and password to Client is provided or (j) By a notice posted on the notice board of the Exchange if no address be known or (k) By electronic mail or fax or (l) By hand delivery or By Courier or any other mode as may be allowed for communication.
- 15.2 Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between SIL and the Client may be made orally, or in the approved mode.
- 16. Electronic Contract Note (ECN) :**
- 16.1. Client agree to receive contract notes in Electronic/Digital Form (ECN) authenticated by means of a digital signature in lieu of Physical Contract notes through provided e-mail id in KYC Application Form at page No. 3 under point c contact details.
- 16.2. The Client shall access and verify the ECN and all information contained therein, In case of discrepancy the Client, shall inform SIL either in writing or via E-mail within reasonable time of the receipt of the same. SIL shall also publish the Contract Note on the Web site www.swastika.co.in on any other designated location specified by SIL from time to time. The Client will be issued a login and password by which the Client can login in to his account and view/save/print the ECN. Should the Client experience any difficulty in opening the ECN, SIL may, on advice by the Client, make the Contract Note available by any other means (e-mail, electronic mail attachment, or in the form of an available download from the back office web site or by delivery of a hard copy). Client's failure to advice SIL of such a difficulty shall amount to valid delivery and viewing of the document by the Client.
- 16.3 1. The client agrees to accept the transaction carried by him/her/them in digital form through internet such as copies of ledgers, Bills, Margin Statements, Statement of accounts of funds & securities and any other information / documents through internet to my/our Registered E-mail ID.
2. Client undertake to check the contract notes / Bills on regular basis and bring the discrepancies to SIL notice with in 24 hours of issuance at any time. Non verification or not accessing the internet on regular basis shall not be a reason for disputing about the documents.
3. Client shall ensure that these mail ids are kept valid and any change in my/our e-mail ids shall be communicated to SIL in writing.
4. Client is aware that non receipt of bounced mail notification by SIL, shall amount to delivery of contract notes/bill/Statement of accounts/other documents at my/our e-mail id.
5. Client also aware that the copies of the contract notes are also available at SIL website www.swastika.co.in for which I/we have been provided with an user id and password.
6. Client aware that in case of any failure in system or error in digital contract notes, the same will be provided in physical form, which shall be binding on me/us
- 17. Participate to provide the transaction statement through internet (web-based and /or email) (D.P.)**
- The Client has agreed and permitted the participant the provide the transaction statement through internet (web-based and/or email) as follows :

1. The participant shall install adequate system to restrict the access of the transaction statement only to the client and client shall also take necessary steps to ensure confidentiality and secrecy of the login name and password.

2. In case of change in email address, client immediately inform the Participant and participant shall verify and confirm with the client. Further, the participant shall confirm with the client about validity of the email address at least one in a year.

3. The client agrees not to receive transaction statement in physical form from the participant, until and unless due to any unforeseen problems.

4. The client shall have the right to terminate these agreed terms and conditions after giving a notice of at-least 10 days to the other parties.

18. Electronic Transmission of other Documents:

Client who have opted for ECN agrees that SIL may transmit to the Client any statements, documents or intimation including, but not limited to, Margin Statement, Statements of Funds and Securities, margin and maintenance calls & other notices / communications in electronic mode either at the e-mail ID designated for delivery of ECN or to the mobile number of the Client or both and, in case of non receipt of bounced mail/non delivery of SMS notification, SIL shall be deemed to have fulfilled his obligation to deliver to the Client such documents. Discrepancies if any in documents should be brought to the notice of SIL within reasonable time from issuance failing which the documents shall be deemed to be true and correct record of transactions stated therein.

19. Electronic Payment Gateway for Net Banking Services:

SIL may provide on its internet trading website, access to Electronic Payment Gateways provided by various banks / service providers for facilitating transfer of funds from Client's bank account to the account of the Client with SIL. Client understands that SIL is only providing access to the electronic fund transfer facility provided by the banker/ service providers of the Client through SIL's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising thereout. Client undertakes not to make SIL a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that SIL's liability shall at all time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank. SIL can levy charges against the facility as mentioned in tariff sheet.

20. Internet / Wireless Technology based Trading facility:

20.1. SIL offers Internet and mobile Trading facility for transaction in securities on the concerned Exchanges including facilities for online application of IPO / FPO / NFO / Bond issues or any other issues of securities or services to apply/purchase/redeem/ sale/buyback or otherwise

deal in the units of Mutual Funds (hereinafter referred to as "the Internet/wireless Trading system") through Exchange approved software. The Client can route its orders to SIL over the internet/mobile/laptop with data card or any other devices which use internet protocol for purchasing, selling and dealing in securities. The Client may avail of such Trading facility provided by SIL by complying with the formalities prescribed therefore.

20.2. Non-usage of Internet/Wireless Trading Facility: If the Client does not use the Internet/Wireless Trading Facility for a continuous period of 3 months or such other period as SIL may notify, the facility may be deactivated without notice and the Client shall comply with the prescribed formalities for reactivating the facility. Trades can, however, be executed at all time by placing orders off-line with the concerned branch of SIL.

20.3. The client understands and agrees that SIL has different product of the Internet Trading /Wireless Trading softwares which have been approved by the Exchanges and the client shall be allotted such product as may be chosen by him. The client also understands and agrees that depending on the trading activity of the client, SIL shall have the exclusive right and liberty to change the product version allotted to the client and allot a different product version of the Internet Trading/Wireless Trading facility.

20.4. Orders of Client subject to review by SIL: The Client agrees that the SIL may, on being suspicious of any of the transactions, review any order placed by a Client, which may cause delays in the processing of the Client's order or may result in rejection of such order."

21. Extra Ordinary Events and termination/ suspension of trading facility: SIL will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication net-work or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond SIL's control resulting in nonexecution, partial or incomplete execution of orders and the resulting financial loss, if any SIL may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.

22. Amendments to the terms and conditions: SIL reserves the right to amend the terms and conditions herein contained by adding, deleting, modifying or varying the provisions thereof by giving 15 days prior notice to the Client. In the event where the client has not objected to revised terms and conditions within 15 days of receiving the notification, the same shall be binding on the client.

23. Mutual Fund Service System Facility / BSE Star MF:

Client is registered with SIL Broking and has executed Know Your Form and certain other documents for the purpose of trading in securities market on the recognized Stock Exchange (herein after referred as "Exchange"). Incase client opts for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the SEBI recognized Stock Exchanges (Mutual Fund

Transaction Facilities). Know Your Client details as submitted by the client for the stock broking shall be considered for the purpose of Mutual fund transaction facilities and abide by the terms and conditions as mentioned in the circulars as may be specified by the Exchanges from time to time in this regard. Client shall also ensure 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). Client shall read & understand the contents of the Scheme Information Document and Key Information Memorandum, addendum issued regarding each Mutual Fund Schemes with respect to which client choose to subscribe / redeem. Client further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes. Client confirm to have read & understood the terms & conditions for using Mutual Fund transaction facility as stated in KYC handout (customer copy)

24. Parties agree that all claims, differences or disputes between them, arising out of or in relation to this Client Registration Documents, any contracts, dealings and transactions made subject to the Bye laws, Rules and Regulations of the Exchanges shall be submitted to arbitration for resolution in accordance with the provisions of the Arbitration and Conciliation Act, 1996 and the

Byelaws and Regulations of the concerned Exchange. Provided, however, that recourse shall not be had to the arbitration, the grievance redressal mechanisms or to the investor protection schemes of the Exchanges or SEBI where the claims, differences or disputes exclusively arise out of or relate to any contracts entered into; transactions carried out; schemes, leagues or competition joined; other arrangements or understandings reached or relations established by the client with a group concern or associate of the Stock Broker or any third parties and to which the Byelaws, Rules and Regulations of the Exchange are not attracted and the Client understands and agrees that any application for invoking the arbitration/grievance redressal mechanisms or investor protection schemes of the Exchange in relation to any such dispute, claims or differences shall be liable to be dismissed.

I/We hereby confirm to have read and understood the terms and conditions as mentioned above and agree to abide by the same.

Date:

Place:

 (28/34)

Client Signature

STANDING INSTRUCTION TO MAINTAIN RUNNING ACCOUNT (VOLUNTARY DOCUMENT)

I / We request you to maintain my/our accounts for funds securities on running accounts basis instead of 'bill to bill settlement basis, unless I/we specifically request you for a payout of available free funds or securities in the account. You may settle the accounts at Monthly ☐ Quarterly ☐ (strike off whichever is not applicable, else the option will be considered as Quarterly) or at such other intervals as SEBI/Stock Exchanges may specify from time to time. I / We further authorize you to retain funds as may be permitted by Stock Exchanges/SEBI from time to time or towards other unbilled services and/or charges applicable on my account, while settling the accounts. **I/We further authorize you to also retain an amount as**

Date:

Place:

Client Code

permitted by SEBI / Stock Exchanges from time to time, while settling my / our account. I/We understand and agree that no interest will be payable on the amount of funds retained by you as above. I / We agree that Swastika Investmart Limited shall not be liable for any claim for loss or loss of profit or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such securities/funds. The standing instruction/authorization for maintaining my/our account as running account shall remain valid until revoked in writing, addressed to you.

 (29/34)

(Client Signature)

FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

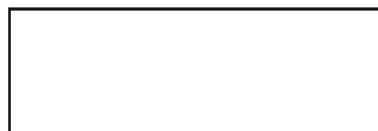
Client Name				
		First / Sole Holder	Second Holder (if any)	Third Holder (if any)
1.	Are you U.S. Person ? (Refer KYC Handout - Customer Copy)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Specify country of residence for tax purpose (Tax Residency)	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other
3.	Specify Country of Citizenship	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other

Note : If you are a U.S. person and /or if your tax residency / nationality / citizenship is other than India, then please provide declaration / self certification under FATCA/CRS.

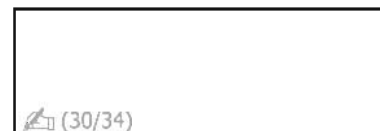
This declaration form can be downloaded from www.swastika.co.in



(Third Holder Signature)



(Second Holder Signature)

 (30/34)

(First/Sole Holder Signature)

A. DEMAT TARIFF SHEET

SCHEMES	AMC Based <input type="checkbox"/>	Deposit Based <input type="checkbox"/>	One Time Charges <input type="checkbox"/>	BSDA Tariff	
				Upto Rs. 50000 <input type="checkbox"/>	Rs. 50001 to Rs. 200000 <input type="checkbox"/>
Account Opening Charges	Nil	Nil	Nil	Nil	Nil
Documentation Charges	Nil	Nil	Nil	Nil	Nil
POA Charges	Rs.150	Nil	Nil	Rs.150	Rs.150
AMC for Individual & HUF Account	Rs.250	Rs.2000 (refundable)*	Rs.1000 (Non-refundable)	Nil	Rs.100
Entities other than above mentioned	Rs.500+ (Rs.500 CDSL/ NSDL Charges)	Rs.6500 (Refundable)*	Rs.3500 (Non-refundable)	N.A.	N.A.
Transaction Charges:-					
On purchase	Nil	Nil	Nil	Nil	Nil
On sale :-					
Within Swastika Group	0.02% Or (Min.Rs.17)	0.02% Or (Min.Rs.17)	0.02% Or (Min.Rs.17)	0.04% Or (Min.Rs.35)	0.03% Or (Min. Rs.30)
Outside Swastika Group	0.03% Or (Min. Rs.25)	0.03% Or (Min. Rs.25)	0.03% Or (Min. Rs.25)	0.05% Or (Min. Rs.40)	0.05% Or (Min. Rs.35)
Demat charges	Rs.2 per certificate** Or (Min. Rs. 10)	Rs.2 per certificate** Or (Min. Rs. 10)	Rs.2 per certificate** Or (Min. Rs. 10)	Rs.5 per certificate Or (Min. Rs.50)**	Rs.5 per (Min. certificate Or Rs.40)**
Remat charges	Rs.25/every 100 securities (Min. Rs. 50) Or (CDSL/NSDL charges extra)**	Rs.25/every 100 securities (Min. Rs. 50) Or (CDSL/NSDL charges extra)**	Rs.25/every 100 securities (Min. Rs. 50) Or (CDSL/NSDL charges extra)**	Rs.50 (CDSL/NSDL charges extra)**	Rs.50 (CDSL/NSDL charges extra)**
Pledge Creation, Closure:-	0.02% Or (Min. Rs.50)	0.02% Or (Min. Rs.50)	0.02% Or (Min. Rs.50)	0.05% Or (Min. Rs.100)	0.05% Or (Min. Rs.75)
Account Freezing	Rs. 100	Rs. 100	Rs. 100	Rs. 100	Rs. 100
Delay pay-in per instruction charges	Rs. 20	Rs. 20	Rs. 20	Rs. 20	Rs. 20
Addition account statement	Rs.20	Rs.20	Rs.20	Nil	Nil

Notes for Demat Tariff Sheet :

- Swastika reserves the right to revise the tariff structure from time to time, with notice of 30 days. The notice may be given by Ordinary post, email or on the website of Swastika.
- DRF would be accepted against upfront payment.
- Rejection of DRF for BSDA Tariff will be charged at Rs.40/- plus Rs.2/- per certificate and Other than BSDA Tariff will be charged at Rs.50/-.
- Each bounce instruction (rejected) will attract a fine of Rs.20/-.
- A penalty of 1% interest per month on the value outstanding on the bill from the due date of Rs.25/- whichever is higher.
- Demat of jumbo certificates will attract special rates for BSDA Tariff.
- Service tax and other levies would be extra as applicable.
- Free transaction will be provided monthly and quarterly as per CDSL/NSDL norms and extra Rs.10/- per statement other than BSDA Tariff.
- Any services that is not indicated above will be charged separately as per the rates applicable from time to time.
- Subject to Closing Demat Account in the First Year
*Exit load Rs.400/- (Rs.550/- entities other than individual & HUF) will be applicable
- ** Postage Charges will be charged on actual basis.
- Basic Service Demat Account (BSDA) facility will be available as per Security Exchange Board of India (SEBI) Circular for opening a BSDA and any amendment from time to time. In case of Demat account under BSDA facility does not meet the eligibility for BSDA facility as per SEBI guidelines or any such authority at any point of time, BSDA account will be converted to regular demat account without reference and will be levied charges as applicable to regular accounts as informed by the Depository Participant.

B. TRADING TARIFF SHEET

Account Code								
Group				Location				
Family Name & Code								
	SEGMENT							
	CASH (NSE & BSE)		DERIVATIVES		CURRENCY DERIVATIVES		COMMODITY	
	Delivery based Transactions	Daily Square up Transactions	Future Transactions	Option Transactions	Future Transactions	Option Transactions	Future Transactions	Option Transactions
Brokerage :-								
(a) Slab (%)								
(b) Min. Paise/ Min. per contract								
Transaction & Other Charges (%)								
Other Charges								

Notes for Trading Tariff Sheet

1. Brokerage is based on the turnover/business committed by me/us and I/we hereby confirm that the members can revise any time subject to the maximum rates prescribed by the Exchange/SEBI.
2. Security Transaction Tax, Service Tax and Stamp Duty would be charges as per applicable rates.
3. Swastika reserves the right to revise charges by giving 15 days notice to the client.
4. All statutory & regulatory dues will be recovered at actual.
5. Minimum brokerage will be applicable @ Rs. 15/- per contract note.

Date: DD / MM / YYYY

Place:



(Third Holder Signature)



(Second Holder Signature)



(31/34)

(First/Sole Holder Signature)

Format for request (Declaration for same E-mail & Mobile Number) [Please tick ☐ wherever applicable]

DP ID		Client ID	
Name of account holder			
<input type="checkbox"/> Mobile Number			
<input type="checkbox"/> Email ID			


I hereby declare that the aforesaid mobile number or E-mail ID belongs to ☐ Me or ☐ My Family Members Relations

1. 2. 3. 4.
 Client Code & Signature Client Code & Signature Client Code & Signature Client Code & Signature

Date: DD / MM / YYYY

Place:

Client Signature

 (32 /34)

INTIMATION TO CLIENTS AND NOTING - MANDATORY

To,
Swastika Investsmart Ltd.
 Regd. Office : 48, Jaora Compund,
 INDORE -452 001

Re: Confirmation of noting


I/We confirm that I/We understand and noted the following:

1. That, you undertake to trade in your OWN/PRO account, in addition to the client base trading.
2. That, your investor grievance email ID is **compliance@swastika.co.in**. If not satisfied with the response, please contact the concerned exchanges at NSE- **ignse@nse.co.in**, Contact No. **18002660058** BSE- **is@bseindia.com**, Contact No. **022-22728517/8097** MCX - **grievance@mcxindia.com**, Contact No. **02266494070** NCDEX - **ig@ncdex.com** Contact No. **022-66406789**

Date: DD / MM / YYYY

Place:

Client Signature

 (33/34)

KRA CONSENT FOR DETAILS

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.

I am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by NDML KRA only for the specific purpose of validating / maintaining / sharing my KYC record and as an audit evidence. I will have an option to request for deletion of my Aadhaar record.

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

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

Client Signature

 34/34

[illegible]

1. The nomination can be individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If account is held jointly all joint holders will sign the nomination form.
2. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
3. The Nominee shall not be a trust, society, body corporate partnership firm, karta of Hindu Undivided Family or a power of attorney holder. A non-resident Indian can be a Nominee son in the exchange-controls in force from time to time.
4. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
5. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the participant the legal heir.
6. The cancellation of nomination can be made by individuals only beneficiary owner accounts on their own behalf singly or jointly by the same who made the original nomination. Non-individuals including society, trust body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
7. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

Form No.

Swastika Investmart Limited

CIN : L65910MH1992PLC067052

Corporate Office

48 Jaora Compound,
MYH Square.
Indore - 452001
Ph.: 0731-6644000

Registered Office

Flat No. 18, 2nd Floor, North Wing,
Madhaveswar Society, Madhav Nagar,
11/12 S.V. Road, Andheri (W), Mumbai-400 058
Ph. 022-26254568-69

Corporate Marketing Office

22/19 Y.N. Road,
Opp Rani Sati Gate,
Indore - 452003
Ph.: 0731-2708400/02

BRANCH

AUTHORIZED PERSON

KYC Department : 0120 44 00 750

E-mail : kyc@swastika.co.in | Helpdesk : 0120 44 00 789 | Web : www.swastika.co.in

Chief Executive Officer : Mr. Sunil Nyati . Ph. : 0731-6644000 . E-mail : md@swastika.co.in

Compliance Officer : Miss Sheetal Duraphe . Ph. : 0731-6644161 . E-mail : sheetal.d@swastika.co.in

॥ सर्वे भवन्तु धनिनः ॥



EQUITY • COMMODITY • CURRENCY • DEPOSITORY • RESEARCH • INSURANCE • LOAN • MUTUAL FUND • INVESTMENT BANKING

SEBI REGN NOs. : NSE/BSE/MSE/MCX/NCDEX : INZ000192732, CDSL/NSDL : IN-DP-115-2015, MERCHANT BANKING : INM000012102, INVESTMENT ADVISORY : INA000009843, RBI REGN NO. : NBFC : B-03.00174, IRDA REGN NO. : 713

Declaration Form for opting out of nomination

[Annexure B 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]

To	Date	D	D	M	M	Y	Y	Y	Y
Trading Member/Participant's Name									
Trading Member/Participant's Address									
UCC/DP ID	I	N							
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.									
Name and Signature of Holder(s)*									
1. _____ 2. _____ 3. _____									

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature