

SR. NO. _____



TRUSTED SHARES & INVESTMENTS LTD.

SEBI REGISTERED STOCK BROKER OF BSE LTD. - CASH SEGMENT

SEBI REGISTERED DEPOSITORY PARTICIPANT OF CDSL

TRADING/DEMAT CLIENT REGISTRATION FORM FOR INDIVIDUAL/NON-INDIVIDUAL

Date : _____
UCC Code : _____
Name : _____
PAN : _____
BO ID : 12057900-00

REGD. OFFICE: 112, Churchgate Chambers, 5, New Marine Lines, Mumbai 400 020.

Tel.: 2266 6507, 2264 4636, 2262 6785, 9324029483, 8369515295

E-mail: info@trustedshares.com • Website: www.trustedshares.in

ANNEXURE – 1
INDEX OF DOCUMENTS

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Details of Trading, Clearing Member and Depository Participant

TRUSTED SHARES & INVESTMENTS LTD.
 Name of stock broker : 112, Churchgate Chambers, 5, New Marine Lines, Mumbai 400 020.
 Regd./Correspondence office : 022- 2266 6507, 2264 4636, 2262 6785, 9324029483, 8369515295
 Telephone Numbers : info@trustedshares.com, trusted.shares@gmail.com
 Email : INZ000270035 and Date: 27.06.2019
 SEBI Registration No. and Date : IN-DP-547-2021 and Date: 07.01.2021
 SEBI Registration No. of CDSL : BSE Member Code No.: 797
 CIN : U65990MH1989PLC054269
 PAN : AAAC4465H
 GST No. : 27AAAC4465H1Z8
 Website : www.trustedshares.in
 Compliance officer of CM & TM : Mrs. Manisha Sawant
 Phone No. : +91 9324029483
 Email Id : bse.compliance@trustedshares.in
 Compliance officer of DP : Mrs. Manjiri Kelkar
 Phone No. : +91 8850300382
 Email Id : dp.compliance@trustedshares.in
 Director : Mahaveer Meghawar
 Phone No. : +91 9820145848
 Email Id : mm@trustedshares.com

For any grievance/dispute please contact **TRUSTED SHARES & INVESTMENTS LTD.** at the above address or email id: **bsecomplaints@trustedshares.in** (Trading) **dpcomplaints@trustedshares.in** (DP) and Phone no. **022 2264 4636**. In case not satisfied with the response, please contact the concerned exchange(s) and depository at their contact details given below:

BSE Limited (BSE)

Tel. No.: 022-22721233/34
 Fax No.: 022-22723677
 Investor Services email id.: is@bseindia.com
 Investor Services Tel. No.: 022 22728097
 Website: https://www.bseindia.com/static/investors/cac_tm.aspx

CDSL

Tel.: 18002005533
 E-mail Id: complaints@cdslindia.com

Subject: Displaying of information regarding SEBI Complaint Redress System (SCORES) in the website

As per BSE Circular No. 20190704-44 Dated July 4, 2019 in order to make complaint redressal mechanism more efficient through SCORES clients may note the following procedures:

- Register on Scores portal** (Link: <https://scores.gov.in/scores/Welcome.html>)
- Mandatory details for filing complaints on SCORES:** i. Name, PAN, Address, Mobile Number, Email id
- Benefits:** i. Effective communication ii. Speedy redressal of the grievances

Tel.: 1800 266 7575 or 1800 22 7575 • www.scores.sebi.gov.in

PROPRIETARY TRADE DECLARATION

Disclosure in Terms of SEBI Circular No. SEBI/MRD/SE/CIR-42/2003 dated November 19, 2003 **Trusted Shares & Investments Ltd.** does only Client Based Business, No proprietary Trading.

KRA & CERSAI REGISTRATION DETAILS

Already Registered with KRA? ☐ Yes ☐ No

Name of the KRA and registration details (✓ Tick whichever is applicable)

☐ NDML ☐ CVL ☐ DOTEX ☐ CAMS ☐ KARVY

KRA Status: _____ Date of Registration: ____/____/____

Already Registered with CERSAI? ☐ Yes ☐ No

CKYC Number: _____ Date of Registration: ____/____/____

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/OC Card and overseas address proof is mandatory.
 8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
 9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
 10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
 11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.
- B. Proof of Identity (POI):** - List of documents admissible as Proof of Identity:
1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
 2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
 3. Identity card/ document with applicant's Photo, issued by any of the following: Central/ State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.
- C. Proof of Address (POA):** - List of documents admissible as Proof of Address:
(*Documents having an expiry date should be valid on the date of submission.)
1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/
- D. Exemptions/clarifications to PAN**
(*Sufficient documentary evidence in support of such claims to be collected.)
1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
 2. Investors residing in the state of Sikkim.
 3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
 4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
 5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCI, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.
- E. List of people authorized to attest the documents:**
1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
 2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

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

Types of entity	Documentary requirements
Corporate	- Copy of the balance sheets for the last 2 financial years (to be submitted every year). - Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). - Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. - Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. - Copies of the Memorandum and Articles of Association and certificate of incorporation. - Copy of the Board Resolution for investment in securities market. - Authorised signatories list with specimen signatures.
Partnership firm	- Copy of the balance sheets for the last 2 financial years (to be submitted every year). - Certificate of registration (for registered partnership firms only). - Copy of partnership deed. - Authorised signatories list with specimen signatures. - Photograph, POI, POA, PAN of Partners.
Trust	- Copy of the balance sheets for the last 2 financial years (to be submitted every year). - Certificate of registration (for registered trust only). - Copy of Trust deed. - List of trustees certified by managing trustees/CA. - Photograph, POI, POA, PAN of Trustees.
HUF	- 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 Attorney granted to transact business on its behalf. - Authorized signatories list with specimen signatures.
Banks/Institutional Investors	- Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. - Authorized 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.

A Clarification / Guidelines on filling 'Personal Details' section

- 1 **Name:** The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory: **Spouse's name or Father's name and Mother's name is Mandatory.**

B Clarification / Guidelines on filling 'Current address details' section

- 1 In case of deemed POA such as utility bill, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address'.

Document Code Description

- 01 Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
- 02 Property or Municipal Tax receipt.
- 03 Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
- 04 Letter of allotment of accommodation from employer issued by State Government or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and license agreements with such employers allotting official accommodation.
- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document issued by the issuing authority of such document with its valid digital signature including issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of information by intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Id entities Data Repository.

C Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999). Do not add '0' in the beginning of Mobile number.
- 2 Email id (Mandatory)

D Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person, if available.

E Clarification on Minor

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

CENTRAL KYC REGISTRY - KNOW YOUR CLIENT (KYC) APPLICATION FORM - INDIVIDUAL

MANDATORY

Important Instructions:

- | | |
|--|--|
| <p>A) Fields marked with '*' are mandatory fields.</p> <p>B) Tick '✓' wherever applicable.</p> <p>C) Please fill the form in English and in BLOCK letters.</p> <p>D) Please fill the date in DD-MM-YYYY format.</p> <p>E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.</p> | <p>F) Please read section wise detailed guidelines / instructions at the end.</p> <p>G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.</p> <p>H) List of two character ISO 3166 country codes is available at the end.</p> <p>I) KYC number of applicant is mandatory for update application.</p> <p>J) The 'OPT based E-KYC' check box is to be checked for accounts opened using OTP based EKYC in non face to face mode.</p> |
|--|--|



For office use only

Application Type* ☐ New ☐ Update

(To be filled by financial institution) KYC No. (Mandatory for KYC update required)

Account Type* ☐ Normal ☐ Minor ☐ Aadhaar OTP based E-KYC (in non-face to face mode)

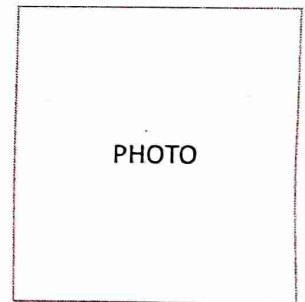
1. PERSONAL DETAILS (Please refer instruction A at the end)

☐ Name* (Same as ID proof)	Prefix 	First Name 	Middle Name 	Last Name
Maiden Name	 	 	 	
Father / Spouse Name*	 	 	 	
Mother Name*	 	 	 	
Date of Birth*	 - - 			
Gender*	☐ M- Male	☐ F- Female	☐ T-Transgender	
Marital Status*	☐ Married	☐ Unmarried	☐ Others	
PAN*	 	☐ Form 60 furnished		
Citizenship*	☐ IN-Indian	☐ Others (ISO 3166 Country Code)		
Residential Status*	☐ Resident Individual	☐ NRI	☐ Foreign National	☐ Person of Indian Origin
Occupation Type*	☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector) ☐ O-Others (☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student)			

2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

(Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)

☐ A- Passport Number	
☐ B- Voter ID Card	
☐ C- Driving Licence	
☐ D- NREGA Job Card	
☐ E- National Population Register Letter	
☐ F- Proof of Possession of Aadhaar	
☐ E- KYC Authentication	
☐ Offline verification of Aadhaar	



Address

Line 1*

Line 2

Line 3 City/Town/Village*

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

3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

- ☐ Same as above mentioned address (In such cases address details as below need not be provided)
- ☐ Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number	
☐ B- Voter ID Card	
☐ C- Driving Licence	
☐ D- NREGA Job Card	
☐ E- National Population Register Letter	

☐ F- Proof of Possession of Aadhaar

II ☐ E- KYC Authentication

III ☐ Offline verification of Aadhaar

IV ☐ Deemed proof of Address - Document Type code

V ☐ Self Declaration

Address

Line 1*

Line 2

Line 3

District*

PIN/Post Code*

State /U. T. Code*

ISO 3166 Country Code*

☐ 4. CONTACT DETAILS (All communications will be sent to Mobile no. / Email-ID) (Please refer instruction C at the end)

Tel. (Off)

Tel. (Res)

Mobile

Email ID

☐ 5. REMARKS (If any)

☐ 6. APPLICANT DECLARATION

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

Date: DD-MM-YYYY

Place:

Signature / Thumb Impression of Applicant

☐ 7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

☐ E-KYC data received from UDAl

☐ Data received from Offline verification

☐ Digital KYC Process

☐ Equivalent e-document

☐ Video Based KYC

☐ IPV Done

Pos Code: 1100057900

KYC VERIFICATION CARRIED OUT BY

Date:

Emp. Name:

Emp. Code:

Emp. Designation:

Emp. Branch:

[Employee Signature]

INSTITUTION DETAILS

Name

TRUSTED SHARES & INVESTMENTS LTD.

Code

[Institution Stamp]

MANDATORY

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

- G) List of two character ISO 3166 country codes is available at the end.
- H) Please read section wise detailed guidelines/instructions at the end.
- I) For particular section update, please take (✓) in the box available before the section number and strike off the sections not required to be updated.



Application Type* ☐ New ☒ Update

[illegible]

1. Entity DETAILS (Please refer instruction A at the end)

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

Date of Incorporation/Formation* -- Date of Commencement of Business* --

Place of Incorporation/Formation*		Country of Incorporation/Formation*	
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TIN or Equivalent issuing Country* ☐ ☐

PAN*

--	--	--	--	--	--	--	--	--	--

☐ Form 60 furnished

TIN/GST Registration Number

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

- ☐ Officially valid documents in respect of person authorised to transact
☐ Certificate of Incorporation/Formation ☐ Registration Certificate Regn Certificate No.
☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed
☐ Resolution of Board/Managing Committee ☐ Power of Attorney granted to its manager, officers/employees to transact on its behalf
☐ Activity Proof - 1 (For Sole Proprietorship only) ☐ Activity Proof - 2 (For Sole Proprietorship only)

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

3.1 Registered Office Address/Place of Business*

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

Address

[illegible]

Line 2

[illegible]

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

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

Address

Line 1*

Line 2

[illegible]

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

☐ 4. CONTACT DETAILS (All communications will be sent to Mobile no. / Email-ID provided may be used) (Please refer instruction D at the end)

Tel. (Off) [] [] [] - [] [] [] [] [] [] [] [] Fax [] [] [] - [] [] [] [] [] [] [] []

[illegible][illegible]

5. NUMBER OF RELATED PERSONS 1 (Please refer instruction E at the end)



CENTRAL KYC REGISTRY - KNOW YOUR CLIENT (KYC) APPLICATION FORM - RELATED PERSON

MANDATORY

Important Instructions:

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

- G) List of two character ISO 3166 country codes is available at the end.
 H) Please read section wise detailed guidelines/instructions at the end.
 I) For particular section update, please take (✓) in the box available before the section number and strike off the sections not required to be updated.



For office use only

Application Type* ☐ New ☐ Update(To be filled by financial institution) KYC No. (Mandatory for KYC update required)☐ 1. DETAILS of Related Person* (Please refer instruction E at the end)

- ☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*) if KYC number is available, only 'Related Person Type' & 'Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor ☐ Beneficiary
☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

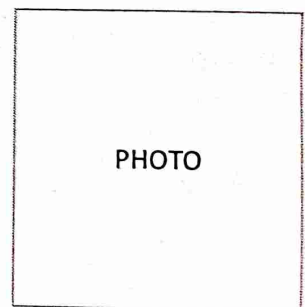
DIN (Director Identification Number) (Mandatory if Related Person Type is Director)☐ 1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name*				
Mother Name*				
Date of Birth*				
Gender*	☐ M- Male ☐ F- Female ☐ T-Transgender			
Nationality*	☐ IN-Indian ☐ Others (ISO 3166 Country Code)			
PAN*	☐ Form 60 furnished			

☐ 1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

I (Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)

- ☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National Population Register Letter
☐ F- Proof of Possession of Aadhaar
- II ☐ E- KYC Authentication
- III ☐ Offline verification of Aadhaar



PHOTO

Address

Line 1*	
Line 2	
Line 3	
District*	City/Town/Village* PIN/Post Code* State /U. T. Code* ISO 3166 Country Code*



Signature/Thumb impression

☐ 1.3 CURRENT ADDRESS DETAILS (Please refer instruction E at the end)

- ☐ Same as above mentioned address (In such cases address details as below need not be provided)
 I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)
☐ A- Passport Number

- ☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National Population Register Letter
☐ F- Proof of Possession of Aadhaar

II ☐ E- KYC Authentication

III ☐ Offline verification of Aadhaar

IV ☐ Deemed proof of Address - Document Type code

Address

Line 1*

Line 2

Line 3

District*

PIN/Post Code*

City/Town/Village*

State /U. T. Code*

ISO 3166 Country Code*

☐ 1.4 CONTACT DETAILS (All communications will be sent to Mobile no. / Email-ID) (Please refer instruction D at the end)

Tel. (Off) Tel. (Res) Mobile

Email ID

☐ 2. APPLICANT DECLARATION

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

Date: DD-DD-YYYY Place:

Signature / Thumb Impression of Applicant

☐ 3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies
☐ Digital KYC process

☐ E-KYC data received from UDAI
☐ Equivalent e-document

☐ Data received from Offline verification

Pos Code:

KYC VERIFICATION CARRIED OUT BY

Date:

Emp. Name:

Emp. Code:

Emp. Designation:

Emp. Branch:

[Employee Signature]

INSTITUTION DETAILS

Name TRUSTED SHARES & INVESTMENTS LTD.

Code

[Institution Stamp]

Annexure

Details of Promoters / Partners / karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant: _____ PAN of the Applicant: _____

Sr. No.	PAN	Name	DIN (For Directors) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph

Name & Signature of the Authorised Signatory(ies) _____ Date _____

For Individuals & Non-individuals
A. BANK ACCOUNT(S) DETAILS

TRADING ACCOUNT RELATED DETAILS

MANDATORY

Bank - 1
Bank Name
Branch
Address
Account No.
Account Type: ☐ Saving ☐ Current ☐ Others _____
MICR Code:
IFSC Code (for RTGS)

Bank - 2
Bank Name
Branch
Address
Account No.
Account Type: ☐ Saving ☐ Current ☐ Others _____
MICR Code:
IFSC Code (for RTGS)

B. DEPOSITORY ACCOUNT(S) DETAILS

Demat - 1
Depository: ☐ NSDL ☐ CDSL
DP Name
Beneficiary Name
DP ID:
BO ID:

Demat - 2
Depository: ☐ NSDL ☐ CDSL
DP Name
Beneficiary Name
DP ID:
BO ID:

C. TRADING PREFERENCES

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

Exchanges	BSE
All Segments	Cash
_____	☒

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

D. OTHER DETAILS

1. Gross Annual Income details (please specify) : Income Range per annum

☐ Upto Rs. 1,00,000/-
 ☐ Rs. 1,00,001/- to Rs. 5,00,000/-
 ☐ Rs. 5,00,001/- to Rs. 10,00,000/-
☐ Rs. 10,00,001/- to Rs. 25,00,000/-
 ☐ Rs. 25,00,001/- to Rs. 100,00,000/-
 ☐ Above Rs. 100,00,001/-
 Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year)

2. Occupation (please tick any one and give brief details)	☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Student ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Others	For Ind. only
	3. Please tick, if applicable ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)	
4. Is the entity involved/providing any of the following services ☐ YES ☐ NO - For Foreign Exchange / Money Changer Services ☐ YES ☐ NO – Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) ☐ YES ☐ NO - Money Lending / Pawning ☐ YES ☐ NO		

5. Any other information

6. GST Registration Number

GST Implementation Location

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-BROKERS 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 (in 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: _____

"Pursuant to SEBI Circular dated August 3rd, 2018, w.e.f. April 1st, 2019 Sub-Broker has been migrated to AP."

G. ADDITIONAL DETAILS

- Mode of Receiving Contract Notes and other documents ☐ Physical ☐ Electronic

Specify your Email id, if applicable: _____

- Internet Trading/ Wireless Trading Facility ☐ Yes ☐ No

- 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: _____

- Any other information: _____

H. INTRODUCER DETAILS (optional)

Name of the Introducer: _____
(Surname) (Name) (Middle Name)

Status of the Introducer: Sub-broker/Remisier/Authorized Person/Existing Client/Others, please specify _____

Address and phone no. of the Introducer: _____

Signature of the Introducer: _____

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: _____

	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 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.

*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

- Self-certified 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. (Not more than 4 months old)
- Demat master or recent holding statement issued by DP bearing name of the client.
- For individuals:
 - 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.
 - 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.
- For non-individuals:
 - Form need to be initialized by all the authorized signatories.
 - 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.

**RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS, AUTHORISED PERSONS AND CLIENTS
AS PRESCRIBED BY SEBI AND STOCK EXCHANGES**

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/ Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply

with such schedules/procedures of the relevant stock exchange where the trade is executed.

15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment 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. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to conciliation/arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of dispute through conciliation/arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the conciliation report/settlement agreement/arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason

ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.

28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.
- 36A. Pursuant to SEBI circular SEBI/HO/MIRSD/DOP/P/CIR/2022/44 Dated April 04, 2022 - The stock broker/stock broker and depository participant shall not directly/indirectly compel the clients to execute Power of Attorney (POA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute POA or DDPI.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made

through the secured access by way of client specific user id and password.

38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.
41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by conciliation report/settlement agreement/arbitration award passed by the conciliator/Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT
(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

Note: As per the provisions of NSE Circular No. NSE/Comp/50610 and BSE Circular No. 20211215-63 dated December 15th, 2021 D&B will implement to business continuity/DR plan as per the regulatory provisions as and when applicable.

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges / SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/ its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities / derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially

executed, or may be executed with relatively greater price difference or may not be executed at all.

- 1.2.1** Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

1.3 Risk of Wider Spreads:

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

1.4 Risk-reducing orders:

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

- 1.4.1** A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

- 1.4.2** A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

- 1.4.3** A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6 Risk of Rumors:

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.7 System Risk:

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

- 1.7.1** During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

- 1.7.2** 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 / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/

glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing":

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

- A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.
- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior

to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. GENERAL

- 4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.
- 4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

GUIDANCE NOTE - DO'S AND DON'TS FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.bseindia.com/ www.nseindia.com/ www.cdslindia.com and SEBI website www.sebi.gov.in.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations on settlement day, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds due from clients as on date of settlement, he may retain funds/margin to the extent of value of transactions executed on the day of such settlement

in the cash market.

- d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and payout of funds is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges give a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Byelaws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

a) Policy for Penny Stock

A stock that trades at a relatively low price and market capitalization. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large bid-ask spreads, small capitalization and limited following and disclosure. Depending on the market condition and RMS policy of the company, the company reserves the right to refuse to provide the limit in Penny stocks and losses if any on account of such refusal shall be borne by client only.

b) Setting up client's exposure limits

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception 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.), and 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. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and 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. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

We have margin based RMS system. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin applicable for respective security as per VAR based margining system of the stock exchange and/or margin defined by RMS based on their risk perception. The payout of securities will be released after considering all liabilities / obligations (including unsettled transactions). Client may sell shares held by him in demat account, for which PoA has been provided to stock broker, without giving margin.

In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

c) Applicable brokerage rate: Brokerage will be charged within the limits prescribed by SEBI/Exchange.**d) Imposition of penalty / delayed payment charges**

Clients will be liable to pay late pay in/delayed payment charges for not making payment of their pay in/margin obligation on time as per the exchange requirement /schedule at the rate up to 2% per month. Similarly the stock broker will also be liable to pay delayed payment charges to the client for not making payment of their obligation on time, as per the exchange requirement/schedule at the rate up to 2% P.M., except in the cases covered by the "Running Account Authorization" given by the client to the stock broker.

The client agrees that the stock broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this Mandatory & Voluntary Client registration document/rules/regulations by laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

e) The right to sell client's securities or close clients' positions, without giving notice to the client, on account of nonpayment of client's dues (limited to the extend of settlement / margin / obligation)

Trusted Shares & Investments Ltd. (TSIL) shall have the sole discretion to square off the open position of the Client and/ or sell clients' securities (including securities maintained as margin with TSIL and securities lying in client's beneficiary/demat account) in case the Client fails to meet its settlement/margin obligations in time. The specific securities to be sold and the positions to be squared off shall be decided solely by TSIL. Further, the square off of client's open position or the selling of securities may be executed on best effort basis on such Exchanges and at such price as may be decided by TSIL. TSIL shall have no obligation of communicating the same to the Client. TSIL shall not be responsible for any losses, delays, brokerage, other charges, margin shortfall penalties etc. incurred by the Client due to such squaring off of the open position of the client.

TSIL reserves the right to square off client's open positions or sell clients' securities under following circumstances:

- (i) Where the limits given to the Client have been breached.

- (ii) Where the Client has defaulted on their existing obligation and/or had failed to make payments/deliver securities to TSIL within the stipulated time period.
 - (iii) Where the margin or security placed by the Client with TSIL falls short of the applicable minimum margin as may be required to be maintained by the client.
 - (iv) Where Mark to Market Loss on the open position has reached 80 % of the margins placed with TSIL and the Client(s) have not taken any steps either to replenish the margin or reduce the Mark to Market Loss.
 - (v) if the open position is neither squared off nor converted to Delivery by Client(s) within the stipulated time. TSIL shall not be hold responsible for any losses, brokerage, other charges, margin shortfall penalties etc.
- f) Shortages in obligations arising out of internal netting of trades**
- Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation / clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first.
- The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:
- i) 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+2 day and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisional amount debited earlier.
 - ii) 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+2 day or Auction day on Exchange plus 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.
 - iii) 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 day.
- g) Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client**
- We have margin based RMS system. Client may take exposure up to the amount of margin available with us. Client may not be allowed to take position in case of non-availability/shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/ non making of payment for their pay in obligation/lawful outstanding debts.
- h) Temporarily suspending or closing a client's account at the client's request**
- On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place. On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.
- i) Deregistering a client**
- Notwithstanding anything to the contrary stated in the mandatory and voluntary client registration document, the stock broker shall be entitled to terminate the mandatory and voluntary client registration document with immediate effect in any of the following circumstances:
- (i) If the action of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
 - (ii) If there is any commencement of a legal process against the client under any law in force;
 - (iii) On the death/lunacy or other disability of the Client;
 - (iv) If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;
 - (v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other mandatory and voluntary client registration document with the Stock broker;
 - (vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
 - (vii) If the Client is in breach of any term, condition or covenant of this Mandatory & voluntary client registration document.
 - (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;

- (ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- (x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- (xi) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

Inactive Client account: Client account will be considered as inactive if the client does not trade for period of 6 months. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the shares/ credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive. The client has to make written request for reactivation of their account. Trading in Exchange is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I/we understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any break down in our back office/ front end system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing or not processing buy or sell Orders either in part or in full

Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same.

These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through any one or more approved means or methods.

These Policies and Procedures shall always be read along with the Mandatory & voluntary client registration document and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and stock broker before any court of law / judicial / adjudicating authority including arbitrator / mediator etc.



(Signature of the constituent)

Brokerage and Schedule of Charges

Further, I agree to the following terms of doing business:

MANDATORY

Particulars	Cash Segment		
	(₹/Paise)	%	
Single Side			
Both Sides			
Delivery			

- Note:**
- 1) Inter settlement arising out of purchase and sale transactions affected by constituent shall be debited to constituent account.
 - 2) Statutory and Exchange Charges:
 - a) Securities Transaction Charges, SEBI Turnover Fees, Transaction Charges shall be levied as per the prevailing rate;
 - b) Statutory levies including but not limited to GST & Stamp duty shall be levied as per the prevailing rate;
 - c) The above rates are subject to change by the Regulatory Authorities and Government Agencies
 - 3) Charges for issue of Duplicate Contract, Bills, statements etc Rs. 50/- per document type.
 - 4) Cheque Bounce/Stop Payment charges - Actual Charges levied by Bank + Taxes.
 - 5) Brokerage shall not exceed maximum permissible limit as per rules & regulations of Exchange / SEBI.
 - 6) Delay Payment Charges On Outstanding Bill Amount If Not Paid Within Due Date :
1.5 % Per Month (Levied Every 15 Days)

Signature of the Client _____

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

MANDATORY

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

Signature of the Client _____

Introduction

In compliance with NSE circular NSE/INSP/62528 dated June 21, 2024, and BSE circular 20240622-2 dated June 22, 2024, this policy outlines the management of Good Till Cancelled (GTC), Good Till Triggered (GTT), Good Till Date (GTD), and similar order types provided to clients of Trusted Shares & Investments Ltd. (TSIL)

Scope

This policy includes:

1. Detailed descriptions of GTC, GTT, and GTD orders, including validity parameters.
2. Procedures for managing such orders during corporate actions, including cancellations, price resets, and retention of unexecuted orders.
3. Client notification timelines for corporate actions affecting unexecuted orders, ensuring notifications are sent at least one day before the ex-date.

Good till Triggered (GTT) Orders**Definition and Features**

Good till Triggered (GTT) orders allow clients to place buy and sell limit orders that remain active until a specific price-based trigger condition is met. These orders can be applied to equity cash products, index futures, and index options

Eligibility

- GTT orders are available to all current and new clients eligible to trade in equity cash products and derivatives.
- This facility is not available for products like Margin and Spot.
- Any new segments where GTT orders are introduced will be updated on the TSIL website and reflected in this policy.

Validity

- GTT orders must be placed at a limit price and cannot be submitted at market price.
- Unexecuted quantities of GTT orders will be placed as new orders on subsequent trading days until the validity expires or the order is executed or cancelled.

Placement

- GTT orders can be placed during pre-open and regular trading hours. Orders for scrips not enabled during the pre-open session will be treated as overnight orders.
- Orders may also be placed via the Call and Trade facility.

Order Modification and Limits

- Clients may modify the quantity or limit price of GTT orders when they are in 'Ordered' or 'Requested' status. Orders in 'Blocked' status can only be cancelled.
- A maximum of two GTT orders can be placed per scrip, with an overall cap of thirty orders across all eligible scrips.

Client Obligations

- Clients must ensure sufficient funds or margins are available to cover unexecuted quantities of GTT orders.

Exclusions

- GTT orders cannot be placed for debt securities, NCDs, bonds, or illiquid securities.

Handling of GTT Orders During Corporate Actions

In the event of a corporate action affecting a security, all GTT orders will be validated against the Daily Price Range (DPR) issued by the exchange. Orders that do not meet the updated criteria will be marked as "GTT Blocked" and retried on subsequent trading days. Notifications will be sent to clients via email and SMS in cases where GTT orders are blocked due to price limitations or insufficient funds/securities.

Client Notification of Upcoming Corporate Actions

KSSBL will notify clients with unexecuted GTT orders of all relevant corporate actions, such as dividends, bonuses, and splits, at least one day before the ex-date. Clients are responsible for reviewing, modifying, or cancelling their orders in response to these actions.

Policy Communication

This policy is included in the Account Opening Form/Kit under "Policy on Handling of Good Till Cancelled Orders of Clients." It is also available on the TSIL website for client reference.

Policy Review

This policy will be reviewed annually to incorporate any changes required by regulatory updates or operational needs.

No Liability for Non-Execution or Opportunity Loss

Trusted Shares & Investments Ltd. will not be liable for Non-execution of any GTT order. Partial or full rejection of any leg of the order. Any opportunity loss resulting from such non-execution.

Cancellation or non-placement of orders due to system or regulatory constraints.

Signature of the Client _____

First Holder's Signature

NSE No. NSE/INSP/62528 dated 21.06.2024 & BSE 20240622-2 dated 22.06.2024

RUNNING ACCOUNT AUTHORISATION

VOLUNTARY

TRUSTED SHARES & INVESTMENTS LTD.

112, Churchgate Chambers, 5, New Marine Lines, Mumbai 400 020.

Dear Sir,

Re: Running Account Authorisation

In order to facilitate operations of my/our trading account opened, I/We would like to authorise Trusted Shares & Investments Ltd. (hereinafter referred as "TSIL") to maintain running account, instead of settlement to settlement clearance of funds due to me/us.

1. I/We hereby give my/our consent to maintain a running balance in my account and retain credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct /revoke you otherwise.
2. I/We request you to settle my fund account as below: (Tick on appropriate option)
☐ Monthly ☐ Quarterly
3. As per the SEBI and Exchanges circulars, the settlement of running account of funds of the client shall be done by the trading member after considering the End of the day (EOD) obligation of funds as on the date of settlement across all the Exchange on first Friday of the Quarter/Month. If first Friday is a trading holiday, then such settlement shall be done on the previous trading day. For clients, who have opted for Monthly settlement, running account shall be settled on first Friday of each month. If first Friday is a trading holiday, then such settlement shall happen on the previous trading day.
4. I/We having credit balance and have not done any transaction within the 30-calendar day since the last transaction, the credit balance shall be returned to me/us, within next three working days or prescribed time limits irrespective of the date when running account was previously settled.
5. In case where I/we and I have traded within 30 calendar days and there is outstanding trade position at the end of First Friday (or previous day in case of a holiday) of the Month/Quarter on which settlement of running account of funds is scheduled, a TSIL may retain funds in the manner specified below:
 - i. Entire pay-in obligation of funds outstanding at the end of day (EOD) on date of settlement, across all segment. 50% of end of the day (EOD) margin requirement as cash margin, excluding the margin on consolidated crystallized obligation/MTM.
 - ii. Apart from above, 225% of EOD margin (which include additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the client by way of 'margin pledge' created in the Depository system for the purpose of margin (after applying appropriate haircut). The margin on consolidated crystallized obligation/MTM. The margin liability may also include the margin collected as per the risk management policy.
 - iii. Apart from 50% cash margin mentioned in point ii above, member may also retain 225% of EOD margin (which includes additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the clients by way of 'margin pledge' created in the Depository system for the purpose of margin and value of commodities (after applying appropriate haircut). The margin liability shall include the end of the day margin requirement in all the segments across exchanges excluding the margin on consolidated crystallized obligation/ MTM. The margin liability may also include the margin collected by the Member from their clients as per the risk management policy and informed to the clients.
6. Client accounts which are due for settlement in the last month or quarter shall be settled on the date of settlement.
7. I/We confirm you that I/We shall to your notice, any dispute arising from the statement of account or settlement so made, in writing preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at registered office.
8. I/We confirm that the above-mentioned authorization shall continue until it is revoked by me/us. I/We confirm having read the above circular and this running account authorization.

Name	
Signature	

Note: The authorisation shall be signed by the client only and not by any authorised person on his behalf or any holder of the Power of Attorney.

AUTHORISATION FOR COMMUNICATION IN DIGITAL FORMAT**VOLUNTARY**

From: _____

Date: _____

To,

Dear Sirs,

Sub: Mandate to issue contract notes in digital format & other communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.) through an E-Mail

I/We hereby agree and consent to accept the contract notes for transactions carried on by us/me on BSE & CDSL with you, in terms of the mandatory and voluntary client registration document entered into between us/me, in digital form. Digital contracts issued by you as per the terms and conditions specified herein shall be binding on me/us. The mandate is subject to terms and conditions mentioned herein below.

Terms and conditions for issuance of contract notes in digital form between us :-

1. Digital Contract Notes in the format as may be prescribed by the Exchange from time to time will be mailed to me/us on the E-mail address provided to you.
You can also send me/us my/our margin statement in digital form with contract notes.
2. I/we undertake to check the contract notes and bring the discrepancies to your notice within reasonable time of such issuance of contract notes. My/our non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time.
3. In case of any failure in system or errors in digital contract notes, or bouncing of email contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any, should be sent on E-mail: bsecomplaints@trustedshares.in
5. Clients can view the digital contract notes using the username & password through the web-site apart from the contract notes sent to the client through mail.
6. The Digital contract notes will be archived at an interval of 1 year. If the client intends to view the digital contract notes for a period prior to 1 year client may request for the same in writing.
7. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI/Exchanges from time to time.
8. It will be client's responsibility to regularly check the mailbox and keeping the storage space for new email messages.
9. Any changes in the terms and conditions shall be intimated from time to time in writing.
10. Non-receipt of bounced mail notification by the trading member shall amount to delivery of contract note at the e-mail ID of the client.
11. Any change in the E-mail ID shall be communicated by us/me through a physical letter.

Other Communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.)

You can send me various documents like Daily margin statement, Statement of funds & securities, Account confirmations, bills, notices etc. through an E-mail ID mentioned in this letter.

This instruction to issue digital contract notes & other communications are applicable with immediate effect. This instruction is several to all parties mentioned above.

My/Our E-mail ID _____

My/Our Alternative E-mail ID _____

I understand that any change in the above email ID can be made by you only against a physical letter personally signed by me, or alternatively if the request is made through the password protected secured access as provided on your website. I undertake to check the electronic contract notes regularly and bring the discrepancies, if any to Trusted Shares & Investments Ltd. notice within reasonable time of issuance of such digital contract notes.

I also understand that Non-Bouncing of the Electronic Contract Notes (ECN) shall be construed as a valid deemed delivery of the digital contract notes and other electronic documents sent to me, and you shall send physical contract notes to me only in case of any ECN's bounced back to you from my email id.

Failure on my part to check/verify the contract notes on regular basis shall not be a reason for disputing the digital contract note at any time and the payment obligations and transactions and trades shall be adhered to and cleared by me.

First Holder/ Authorised Signatory

Name	
Signature	

Common Email Id/Mobile number for Demat and/or Trading Account

VOLUNTARY

To,
TRUSTED SHARES & INVESTMENTS LTD.

112, Churchgate Chambers,
5, New Marine Lines, Mumbai 400 020.

Dear Sir/Madam,

Date: _____

Subject: Request to upload same/common Email Id/Mobile number for Demat and/or Trading Account

I/We wish to update email id / Mobile no in my/our Trading account no. _____ and demat account number _____, send all your communication pertaining to my/our Trade Confirmations,

Contract Notes, MTM Obligations, Margin Calls or any other communication, daily transaction done in respective demat account, monthly demat statement of transaction, Statement of demat holding (which is necessary from your Compliance

point of view) including the verification call from Trusted Shares and Investments Limited etc. on the below mentioned Mobile number/Email id.

	Details	Name & Sign of the person whose Mobile no./ Email id is provided	Relation with the client (Mobile & Email Id) (Tick ✓ wherever applicable)
Mobile no.		Sign. _____	☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Parents ☐ Dependent Siblings ☐ Guardian ☐ POA ☐ Authorised Signatory (Non-Individual) ☐ Custodian ☐ PMS
Email id		Sign. _____	☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Parents ☐ Dependent Siblings ☐ Guardian ☐ POA ☐ Custodian ☐ Authorised Signatory (Non-Individual)

I/We am/are also aware that the stock Exchanges have been pursuing a process of confirming the trade details Directly to the clients via SMS/Email alerts which they have carried out through their respective Stock Broker. Accordingly, I/we record my/our consent to receive those SMS as well as Emails alerts directly from the Exchanges on the above stated contact details by authorizing you for sharing the said details same with Exchanges. I/We would request you to do the needful.

With Thanks and regards

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

(in case of demat account having joint holders, all holders need to sign)

TRUSTED SHARES & INVESTMENTS LTD.

DEPOSITORY PARTICIPANT OF CENTRAL DEPOSITORY SERVICES (I) LTD.

DP ID - 12057900 • SEBI REGN. NO.: IN-DP-CDSL-476-2008

Regd. Office: 112, Churchgate Chambers, 5, New Marine Lines, Mumbai 400 020.

Tel.: 2266 6507, 2264 4636, 2264 4592, 2264 4596, 2262 6785, 9324029483

E-mail: info@trustedshares.com • Website: www.trustedshares.com

Additional KYC Form for Opening a Demat Account (Individual)

(To be filled by the Depository Participant)

Application No.											Date									
DP Internal Reference No.																				
DP ID	1	2	0	5	7	9	0	0	Client ID	0	0	0								

(To be filled by the applicant in BLOCK LETTERS in English)

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

Holders Details

Sole / First Holder's Name	PAN																		
	UID	X	X	X	X	X	X	X	X	X									
Exchange Name & ID	UCC																		
Second Holder's Name	PAN																		
	UID	X	X	X	X	X	X	X	X	X									
Third Holder's Name	PAN																		
	UID	X	X	X	X	X	X	X	X	X									

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

Type of Account (Please tick whichever is applicable)

Status	Sub - Status			
☐ Individual	☐ Individual Resident	☐ Individual-Director	☐ Individual Director's Relative	
	☐ Individual HUF / AOP	☐ Individual Promoter	☐ Individual Margin Trading A/C (MANTRA)	
	☐ Minor	☐ Others (specify)		
☐ NRI	☐ NRI Repatriable	☐ NRI Non-Repatriable	☐ NRI-Repatriable Promoter	
	☐ NRI Non-Repatriable Promoter	☐ NRI - Depository Receipts	☐ Others (specify)	
☐ Foreign National	☐ Foreign - National	☐ Foreign National - Depository Receipts	☐ Others (specify)	

Details of Guardian (in case the account holder is minor)

Guardian's Name											PAN									
Relationship with the applicant																				

I/We instruct the DP to receive each and every credit in my / our account [Automatic Credit] (If not marked, the default option would be 'Yes')		☐ Yes ☐ 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')		☐ Yes ☐ No
Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly	
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID		☐ Yes ☐ No
I/We would like to share the email ID with the RTA		☐ Yes ☐ No
I/We would like to receive the Annual Report ☐ Physical / ☐ Electronic / ☐ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)		
I/We wish to receive dividend / interest directly in to 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]		☐ Yes ☐ No
I/We wish to receive CAS (Consolidated Account Statement)		☐ Yes ☐ No
I/We wish to avail BSAD facility		☐ Yes ☐ No

Bank Details (Dividend Bank Details)

MICR code starting with 000 will not be eligible for ECS.

Bank Code (9 digit MICR code)										
IFS Code (11 character)										
Account number										
Account type	☐ Saving ☐ Current ☐ Others (specify)									
Bank Name										
Bank Branch Address										
City		State		Country		PIN				

- (i) Photocopy of the cheque/cancelled cheque having the name of the account holder where the cheque book is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO, (or)
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.
• In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it shall be self-certified by the BO.

OTHER DETAILS

1. Gross Annual Income Details (please specify):
Income Range per annum: ☐ Below Rs 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ > 25 Lacs
Net-worth as on (date) _____ (Net worth should not be older than 1 year)
2. Occupation (please tick any one and give brief details): ☐ Private Sector ☐ Public Sector ☐ Government Service
☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others (Specify) _____
3. Please tick, if applicable: ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (RPEP)
4. Any other information: _____

SMS Alert Facility Refer to Terms & Conditions given as Annexure-2.4	☐ Yes ☐ No MOBILE NO. +91 _____ [(Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).
easi	☐ Yes ☐ No To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

- ☐ Sole Holder ☐ Jointly ☐ Anyone of the Holder

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be first holder.

☐ First Holder	☐ All Holder	Email id
	☐ Second Holder	
	☐ Third Holder	

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature			

(Signatures should be preferably in black ink).

Date		D	D	M	M	Y	Y	UCC			
TM/DP		TRUSTED SHARES & INVESTMENTS LTD.									
Name & Address		112, Churchgate Chambers, 5, New Marine Lines, Mumbai 400 020.						Nomination Registration No.		Dated	
☐ I/We wish to make a nomination [Annexure A] (As per Nomination details given below) I/We hereby nominate the following person(s) who shall receive all the assets held in my/our account/folio in the event of my/our demise, as trustee and on behalf of my/our legal heir(s) *		☐ I/We do not wish to make a nomination [Annexure B] I/We do not wish to appoint any nominee(s) in my/our MF Folio/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 MF Folio/demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio/demat account.									

Mandatory Details				Additional Details ****				
Nominee	Name of nominee	Share of nominee (%)**	Relationship	Postal Address	Mobile No. & Email	Identity Number ***	D.O.B. of nominee	Guardian
1. First Name								
Middle Name								
Last Name								
2. First Name								
Middle Name								
Last Name								
3. First Name								
Middle Name								
Last Name								
4. First Name								
Middle Name								
Last Name								
5. First Name								
Middle Name								
Last Name								
6. First Name								
Middle Name								
Last Name								
7. First Name								
Middle Name								
Last Name								
8. First Name								
Middle Name								
Last Name								
9. First Name								
Middle Name								
Last Name								
10. First Name								
Middle Name								
Last Name								

***Joint Accounts:**

Event	Transmission of Account/Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously - having nominee	Nominee
Demise of all joint holders simultaneously - not having nominee	Legal heir(s) of the youngest holder

** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division/fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required. However, in case of NRI/OCI/PIO, Passport number is acceptable.

**** to be furnished only in following conditions/circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

1) I/We want the details of my/our nominee to be printed in the statement of holding or statement of account, provided to me/us by the AMC/DP as follows; (please tick, as appropriate)

☐ Name of nominee(s) ☐ Nomination: Yes/No

2) I hereby authorize _____ (nominee number _____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He/She is authorized to encash my assets up to _____% of assets in the account/folio or Rs. _____. (Optional) (strike off portions that are not relevant)

3) This nomination shall supersede any prior nomination made by me/us, if any.

4) Signature(s) - As per the mode of holding in demat account(s)/MF folio(s)

	Name(s) of holder(s)	Signature(s) of holder	Witness Signature*
1)			
2)			
3)			

* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Name & Address - Witness 1	Name & Address - Witness 2	Name & Address - Witness 3

Rights, Entitlement and Obligation of the investor and nominee:

- If you are opening a new demat account/MF folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the AMC/DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account/folio.
- In case all your nominees do not claim the assets from the AMC/DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account/folio, in case of your physical incapacitation. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the folio(s)/demat account(s) i.e.
 - 'Either or Survivor' Folios/Accounts - any one of the holder can sign
 - 'First holder' Folios/Accounts - only First holder can sign
 - 'Jointly' Folios/Accounts - both holders have to sign

Transmission aspects

- AMCs/DPs shall transmit the folio/account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion/ updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account/folio, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC/DP.
- In case of multiple nominees the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

TRUSTED SHARES & INVESTMENTS LTD.

DEPOSITORY PARTICIPANT OF CENTRAL DEPOSITORY SERVICES (I) LTD.

DP ID - 12057900 • SEBI REGN. NO.: IN-DP-CDSL-476-2008

Regd. Office: 112, Churchgate Chambers, 5, New Marine Lines, Mumbai 400 020.

Tel.: 2266 6507, 2264 4636, 2264 4592, 2264 4596, 2262 6785, 9324029483

E-mail: info@trustedshares.com • Website: www.trustedshares.com

Additional KYC Form for Opening a Demat Account (For entities other than Individuals)

(To be filled by the Depository Participant)

Application No.											Date									
DP Internal Reference No.																				
DP ID	1	2	0	5	7	9	0	0	Client ID	0	0	0								

(To be filled by the applicant in BLOCK LETTERS in English)

I / We request you to open a Demat Account in my / our name as per the following details: -

Holders Details

Sole / First Holder's Name																				
Search Name											PAN									
Exchange Name & ID											UCC									
Second Holder's Name											PAN									
											UID	X	X	X	X	X	X	X	X	
Third Holder's Name											PAN									
											UID	X	X	X	X	X	X	X	X	

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

Type of Account	(Please tick whichever is applicable)																			
☐ Body Corporate ☐ CM										☐ Banks ☐ FI										
☐ Trust ☐ Clearing House										☐ Mutual Fund ☐ Other (Specify)										
☐ OCB ☐ FII										Sub - Status To be filled by the DP										
Date of Incorporation																				
SEBI Registration No. (If Applicable)											SEBI Registration Date									
RBI Registration No. (If Applicable)											RBI Approval Date									
Nationality	☐ Indian ☐ Others (specify) _____																			

I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit] (If not marked, the default option would be 'Yes')	☐ Yes ☐ 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')	☐ Yes ☐ No
Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	☐ Yes ☐ No
I / We would like to share the email ID with the RTA	☐ Yes ☐ No
I / We would like to receive the Annual Report ☐ Physical / ☐ Electronic / ☐ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	

Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange																				
Name of CC / CH																				
Clearing Member Id											Trading member ID									

I / We wish to receive dividend / interest directly in to my bank account given below through ECS (if not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	☐ Yes ☐ No
--	--

Bank Details (Dividend Bank Details)

Bank Code (9 digit MICR code)									
IFS Code (11 character)									
Account number									
Account type	☐ Saving ☐ Current ☐ Others (specify)								
Bank Name									
Bank Branch Address									
City		State		Country		PIN			

- (i) Photocopy of the cheque/cancelled cheque having the name of the account holder where the cheque book is issued, (or)
 (ii) Photocopy of the Bank Statement having name and address of the BO, (or)
 (iii) Photocopy of the Passbook having name and address of the BO, (or)
 (iv) Letter from the Bank.
 • In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it shall be self-certified by the BO.

MICR code starting with 000 will not be eligible for ECS.

OTHER DETAILS

- Gross Annual Income Details (please specify): Income Range per annum:
☐ Below Rs 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25 Lacs -1 Crore ☐ > 1 Crore
- Net-worth as on (date) _____ (Net worth should not be older than 1 year)
- Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) ☐. Please provide details as per Annexure 2.2 A.
- Any other information: _____

SMS Alert Facility Refer to Terms & Conditions given as Annexure-2.4	☐ Yes ☐ No MOBILE NO. +91 _____ [(Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).
easi	☐ Yes ☐ No To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions 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 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 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.

	First/Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature			

(Signatures should be preferably in black ink).

RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI AND DEPOSITORIES

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner Information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and/or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The stock broker/stock broker and depository participant shall not directly/indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.
12. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
13. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

14. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
15. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
16. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
17. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given

First/Sole Holder

Second Joint Holder
40

Third Joint Holder

a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

20. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

22. As per Section 16 of Depositories Act, 1996, 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
23. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

24. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
25. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.
26. The Joint holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority.

Redressal of Investor grievance

27. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

28. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

29. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
30. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
31. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
32. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and / or SEBI
33. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
34. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

First/Sole Holder

Second Joint Holder

Third Joint Holder

Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions:

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

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at Marathon Futurex, A-Wing, 25th floor, N M Joshi Marg, Lower Parel (East), Mumbai 400013 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

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

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warrant the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with

availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

I/We provide the following information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable)

BOID

1	2	0	5	7	9	0	0		0	0	0				
---	---	---	---	---	---	---	---	--	---	---	---	--	--	--	--

(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent

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

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

(Existing users registered for SMS alerts:- New mobile number will be updated for SMS alert also.)

The mobile number is registered in the name of: _____

Email ID: _____
(Please write only ONE valid email ID on which communication; if any, is to be sent)

 _____  _____  _____
Signatures Sole / First Holder Second holder Third Holder

Place: _____ Date: _____

DEMAT DEBIT AND PLEDGE INSTRUCTION

VOLUNTARY

Date: __/__/__

Unique Client Code															
BO ID	1	2	0	5	7	9	0	0	0	0	0				
Name of First Holder															
Name of Second Holder															
Name of Third Holder															

To,

Trusted Shares & Investments Ltd.

112, Churchgate Chambers, 5, New Marine Lines, Mumbai 400 020.

Sub: Execution of 'Demat Debit and Pledge Instruction' (DDPI) for transfer of securities towards deliveries/ settlement obligations and pledging/re-pledging of securities as per SEBI circular SEBI/HO/MIRSD/DoP/P/CIR/ 2022/44 dated April 4, 2022 and SEBI/HO/MIRSD/MIRSD-PoD-1/P/IR/2022/137 dated October 6, 2022 on Execution of Demat Debit and Pledge Instruction' (DDPI).

1. I/We hereby execute Demat Debit and Pledge Instruction' (DDPI) in the favour of Trusted Shares & Investments Ltd. and agree to authorize them to access my/our BO Account specified above for the limited purpose of settlement/margin obligation as specified below:

Sr. No.	Purpose/Nature of Instruction	Client Signature
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries/ settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker (TM).	First Holder:  Second Holder:  Third Holder: 
2.	Pledging/re-pledging of securities in favour of trading member (TM) /clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	First Holder:  Second Holder:  Third Holder: 
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	First Holder:  Second Holder:  Third Holder: 
4.	Tendering shares in open offers through Stock Exchange platforms	First Holder:  Second Holder:  Third Holder: 

2. List of Beneficial Owner Accounts that the Member is entitled to operate with DDPI are as follows*:

Sr. No.	Exchange/ Segment	Demat Account Number	Account Type
1	BSE LTD.-EX ID 11	1205790000000193	CM Pool Account
2		12057900000008612	TM/CM Client Margin Pledge Account
3	BSE LTD.-EX ID 11	1100001000016670	BSE LTD.- Early Payin Account
4		IN656464	NSDL CM Pool Account

*Any modification, deletion or addition in the above account shall be intimated to me/ us separately.

3. The authorization provided by DDPI shall be applicable for all transactions specified herein from the date of applicability as specified by SEBI/ Exchange.

	First/Sole Holder	Second Holder	Third Holder
Signature 			

If HUF, Co-parceners Signature:

- 1) _____
- 2) _____
- 3) _____
- 4) _____

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date: _____

DP ID	1	2	0	5	7	9	0	0	Client ID	0	0	0					
-------	---	---	---	---	---	---	---	---	-----------	---	---	---	--	--	--	--	--

To,
TRUSTED SHARES & INVESTMENTS LTD.
 112, Churchgate Chambers,
 5, New Marine Lines, Mumbai 400 020.

Dear Sir/Madam,

I/We hereby state that:

[Select one of the options given below]

☐ **OPTION 1:**

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

OR

☐ **OPTION 2:**

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

Yours faithfully,



First/Sole Holder



Second Joint Holder



Third Joint Holder

===== (Please Tear here) =====

ACKNOWLEDGEMENT RECEIPT

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from:

DP ID	1	2	0	5	7	9	0	0	Client ID	0	0	0					
Name of the Sole / First Holder																	
Name of Second Holder																	
Name of Third Holder																	

For TRUSTED SHARES & INVESTMENTS LTD.

(Authorised Signatory)

Registration Form-Beneficial Owner (BO)/Clearing Member (CM)

Name of the Beneficial Owner(s)/ Clearing Member (CM)	1.																
	2.																
	3.																
Beneficial Owner ID	1	2	0	5	7	9	0	0									
Login ID																	
DP Name	Trusted Shares & Investments Ltd.																
DP Address	112, Churchgate Chambers, 5, New Marine Lines, Mumbai 400 020.																
Email Address of the BO																	
Tel. No.																	
Mobile No.																	
Transfer option	Trusted A/c								Y	Account of choice						N	
Details of Trusted A/c (Submit the under taking from Trusted a/c holders as per format attached, applicable only if Trusted A/c option is selected)																	
DP ID										Client ID							
Sr. No	1	2	0	5	7	9	0	0	0	0	0	0	0	0	1	8	9

I/We would like to register above mentioned account for the *easiest* service. I/We hereby agree to the terms and conditions I/We have read earlier for availing the said service.

Date ____/____/20

Place : Mumbai

Signature(s)

First Holder	Second Holder	Third Holder

(To be filled up by the DP)

This is to certify that

- _____
- _____
- _____

are maintaining BO A/c No. 12057900000 _____ with us. We have verified the signatures of the said account holders and they match with the specimen signatures as per our records.

For Trusted Shares & Investments Ltd.

Date ____/____/20

Place : Mumbai

Authorised Signatory

Electronic Access to Securities Information & Execution of Secure Transactions (easiest) Trusted Form-Beneficial Owner (BO)

Letter from the Trusted Account Holder

Name of the Beneficial Owner(s)	1.															
	2.															
	3.															
Address																
DP ID										Client ID						
Sr. No	1	2	0	5	7	9	0	0	0	0	0	0	0	0	0	0

Dear Sir/Madam.

We acknowledge your request to nominate our depository account as a trusted account for the purpose of receiving credits from your account. We have no objection for the same.

We agree that if any securities are moved to our account which are not due to us for any reasons including but not limited to an error or fraud, we undertake to immediately return the securities to you. The details of our account (Trusted a/c) are as under:

DP ID										Client ID						
Sr. No	1	2	0	5	7	9	0	0	0	0	0	0	0	1	8	9

Yours faithfully,

(Authorised Signatories)

To be signed by the Trusted a/c holder

I/We hereby nominate the above account holder as our trusted account for easiest services where securities can be credited from my/our account using the common infrastructure through internet.

Signature(s)

First Holder.	Second Holder	Third Holder

To be signed by the BO

Trusted Shares & Investments Ltd.

12, Churchgate Chambers, 5, New Marine Lines, Mumbai 400 020.

DP ID - 57900				SEBI Reg. No. : IN-DP-476-2008	
S.N.	Particulars	OPTION 1-Refundable Deposit	OPTION 2-One Time-Non Refundable Deposit	OPTION FOR - UDAIPUR CLIENT	
1.	Form Charges + Notary etc	**Rs.350/- +Rs. 60/- (KYC & CKYC) + Rs.500/- =POA	**Rs.350/- +Rs. 60/- (KYC & CKYC) + Rs.500/- = POA	Rs. 60/- (KYC & CKYC) + Rs.500/- = POA	
2.	Deposit (Refundable att. 1 yr.)	*Rs.3000/- (Individual) and for NRI 5000/- *Rs.5000/- (Corporate)+(Rs.800 AMC Yr)	Rs. 2000/- (Individual) Rs. 3000/- (Corporate) + Rs.500/- (AMC Yr)	Rs.1000/- non refundable	
	Annual Custodian chgs.	0.02% of holding valuation whichever is higher	0.02% of holding valuation whichever is higher	N.A.	
3.	Refundable Amt. fr. Total deposit Amt. * (Bef. 1 yr.)	*Rs.1000/- (for Individual) *Rs.3000/- (for Corporate)	Rs. 500/- (AMC Yr) for corporate A/cs	N.A.	
4.	AMC (BSDA)	Value of holdings up to Rs. 4 lakhs - NIL Value of holdings Rs. 4 lakhs to 10 Lakhs - Rs. 100/-	Value of holdings up to Rs. 4 lakhs - NIL Value of holdings Rs. 4 lakhs to 10 Lakhs - Rs. 100/-	Value of holdings up to Rs. 4 lakhs - NIL Value of holdings Rs. 4 lakhs to 10 Lakhs - Rs. 100/-	
5.	TRANSACTION CHARGES	NIL	NIL	NIL	
	BUY	With TS-Mini Rs.40/- per ISIN Only for payin or 0.04% of the Mkt. Value which ever is higher AND 0.04% of the Mkt. value subject to Minimum Rs.45/-per ISIN outside TS	With TS-Mini Rs.40/- per ISIN Only for payin or 0.04% of the Mkt. Value which ever is higher AND 0.04% of the Mkt. value subject to Minimum Rs.45/-per ISIN outside TS	With TS-Mini Rs.25/- per ISIN Only for payin or 0.04% of the Mkt. Value which ever is higher AND 0.04% of the Mkt. value subject to Minimum Rs.25/-per ISIN outside TS	
	SELL	Rs.45/- per ISIN Outside TSIL OR 0.04% of the mkt. Rs.40/- per ISIN or 0.04% of the mkt. value which ever is higher.	Rs.45/- per ISIN Outside TSIL OR 0.04% of the mkt. Rs.40/- per ISIN or 0.04% of the mkt. value which ever is higher.	Rs.45/-per ISIN Outside TSIL OR 0.04% of the mkt. Rs.40/- per ISIN or 0.04% of the mkt. value which ever is higher.	
	Off Mkt Out TS				
	Off Mkt With TS within CDSL				
6.	Dematerialisation Request	Rs.200/- per ISIN + Postage and 0.10% mkt value whichever is higher	Rs.200/- per ISIN + Postage and 0.10% mkt value whichever is higher	Rs.200/- per ISIN + Postage and 0.10% mkt value whichever is higher	
7.	Rematerialisation Request	Rs.50/-per ISIN + Actual Postage Charges	Rs.50/-per ISIN + Actual Postage Charges	Rs.50/-per ISIN + Actual Postage Charges	
8.	PLEDGE REQUEST				
	Pledge Opening	0.03% of the market value subject to mini.Rs. 75/- per transaction for opening, closing & invocation	0.03% of the market value subject to mini.Rs. 75/- per transaction for opening, closing & invocation	0.03% of the market value subject to mini.Rs. 75/- per transaction for opening, closing & invocation	
	Pledge Closure				
	Pledge Invocation				
	Margin Pledge	Rs.25/- per ISIN	Rs.25/- per ISIN	Rs.25/- per ISIN	
9.	OTHER CHARGES				
	Extra Demat Statement	Rs. 25/- + courier charges	Rs. 25/- + courier charges	Rs. 25/- + courier charges	
	Cheque Bouncing Charges	Actual as per Bank	Actual as per Bank	Actual as per Bank	
10.	Modification charges	For each request Rs. 100/- to Rs. 150/- + Actual Postage	For each request Rs. 100/- to Rs. 150/- + Actual Postage	For each request Rs. 100/- to Rs. 150/- + Actual Postage	
11.	DIS Booklet	1st DIS Bk free 2nd Onwards Rs. 50/-	1st DIS Bk free 2nd Onwards Rs. 50/-	1st DIS Bk free 2nd Onwards Rs. 50/-	
12.	Easiest	With TS = Free. With Others Rs.300/- P.A.	With TS = Free. With Others Rs.300/- P.A.	With TS = Free. With Others Rs.300/-P.A.	

P. T. O.

Note:

1. Rs. 50/- per ISIN for late instruction received between 9.00 a.m to 10.00 a.m. to be paid upfront for the respective days pay in at the risk & responsibility of the customer/Account holder. No instruction would be accepted after 10.00 a.m.
 2. Same day execution/late instruction will be accepted on "a best effort basis" at the sole risk and responsibility of the Demat a/c holder(s). The DP will not be held responsible for non-execution of same day instruction.
 3. Failed instruction charges -0.03% of the Mkt. value subject to Mini. Rs.20/- per ISIN and applies to all three options
 4. **Rs.350/- (includes Rs. 150/- + form charges + Rs. 200/- Legal/Audit/Software Maintaince Charges)
 5. Service Tax will be charged separately as stipulated by Statutory Authorities from time to time, All taxes/levies are as applicable
 6. Interest @ 13% p.a. will be levied on bills outstanding beyond 7 days from due payable date.
 7. The above rates are based on the existing CDSL charges and will be revised on revision by CDSL Depository
 8. Fees shall be revised / changed at TSIL discretion, intimation of which shall be done by e-mail/post and will binding on the account Holder
 9. Value of transaction will be in accordance with the rates provided by CDSL.
 10. Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
 11. The scheme once selected can be changed at the end of financial year.
 12. TSIL reserves the right to modify/changes any or the charges & shall be informed of the change on month before implementation
 13. Please note that in case we are not able to recover charges, will freeze depository services of resp demat account
 14. For Corporate Account Holder - Rs.500/- AMC charged BY CDSL it self. The actual charges we will be recovered from the account holder.
 15. Actual courier charges will be extra for each service request.
 16. Those who require CAS-fr NSDL/CDSL..will have to pay actual charges levied by CDSL/NSDL to US.
 17. We have introduced Basic Service Demat Account (BSDA) for all beneficiary account holder and we are charging minimum charges.*(Conditions Applied)
 - * charges : account opening and closing NIL, physical statement, pledge and modification charges Rs.15/- per request
 - * AMC upto 4 lacs valuation - no amc, above 4 lacs - upto 10 lacs only charge Rs.100/-. More than Rs.10 lakhs, Not a BSDA client + Regular AMC may be levied
 18. If the value of holding in such BSDA exceeds the prescribed criteria at any date, the DPs may levy charges as applicable to regular accounts (non-BSDA) from that date onwards.
 19. In case of BSDA electronic statements shall be provided free of cost.
 20. In case of BSDA physical statement may be charged at a fee not exceeding Rs. 25/- per statement.
- Trusted Shares & Investments Ltd - DP ID: 57900
- I/We do hereby agree to the above mentioned charges, terms & conditions.
- I/We hereby authorise the following persons to collect my/our Transaction Statements, instruction Slips, all correspondence, Bill for Depository charges, etc. Kindly deliver all my / our above documents to them or the persons being authorised by them
- The details about the name, signatures and initials of the said persons is as below.

First/Sole Holder

Second Joint Holder

Third Joint Holder

DEBIT AUTHORIZATION LETTER

VOLUNTARY

From: _____

To
TRUSTED SHARES & INVESTMENTS LTD.112, Churchgate Chambers, 5, New Marine Lines, Mumbai 400 020.
Dear Sir,

Date: _____

SUB: LETTER OF DEBIT AUTHORISATION:

I am client of TRUSTED SHARES & INVESTMENTS LTD. having client id _____ & I hereby willfully & unconditionally issue following debit authorisation:-

I am agreeable and authorise you to debit my client code _____ towards DP Charges and Annual Maintenance Charges (AMC).

Thanking you,

Yours Faithfully,



Signature

(please sign with stamp of the firm if applicable)

FEMA DECLARATION (Applicable for NRI only)

Dear Sir/Madam,

With reference to my/our application for opening of Demat account with you, I/we hereby confirm that I am/we are non-resident Indian/s foreign national/s Individual/s. I/we also confirm that I/we have complied with FEMA Regulations and I/we would continue to comply with FEMA regulations.

	First/Sole Holder	* Second Holder	* Third Holder
Name			
Signature 			

Date:

Place:

(*To be signed only if second and/or third holder/s is/are NRI/s or FN/s. Not to be signed if second and/or third holder/s is/are resident Indian/s)

Download Consent Form

Dear Sir/Madam,

I, _____ S/o/D/o/W/o _____

_____ S/o/D/o/W/o _____

_____ S/o/D/o/W/o _____

give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC Record includes my KYC Records/Personal information such as my name, address, date of birth, PAN number etc.

	First/Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Signature 			

Date:

HUF DECLARATION

Date: _____

TRUSTED SHARES & INVESTMENTS LTD.

112, Churchgate Chambers,
5, New Marine Lines, Mumbai 400 020.
Dear Sir,

I hereby request you to open our Trading account with you, for our HUF, Being Karta of my family, I hereby declare that following is the list of family members in our HUF.

SR. NO.	NAME OF FAMILY MEMBERS	PAN	SEX	RELATIONSHIP	DATE OF BIRTH	SIGNATURE

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for making this Application to open Account.

I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further, I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking you,
Yours faithfully,

Karta
(Affix stamp of HUF)

VOLUNTARY

Date: _____

TRUSTED SHARES & INVESTMENTS LTD.

112, Churchgate Chambers,
5, New Marine Lines, Mumbai 400 020.

Sub.: Mobile Phone Communication/SMS Alerts.

This is to confirm that my registered mobile number is as under and is registered in my name / in the name of _____ who is related to me as _____

+	9	1	-																
---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

I hereby request and authorize you to provide any information relating to my account (Bill Summary/ Receipts & Payments/ Available margin & Market News) with you by way of telephonic calls or SMS alerts.

Sending of the above information to me in the manner as above shall not be construed as violation of any "Do Not Disturb Registry (DND)" made by me.

Delivery of any information made to me in the above manner shall be considered as valid delivery of the information so provided.

Thanking you
Yours faithfully,

Client Name & Signature

**INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002
(APPLICABLE TO INDIVIDUAL CLIENTS - FIRST HOLDER)**

CLIENTS DETAILS

Experience	Number of years of Investment / Trading Experience ☐ ☐ Any other Information
Education	☐ Non-Metric ☐ SSC/HSC ☐ Graduate ☐ Lawyer ☐ Other Specify
Residential Details	☐ Owned ☐ Rented
Source of Income (Fund Details)	Do you intend to invest in stock market with: ☐ Own Funds ☐ Borrowed Funds a) Primary Source ☐ Salary ☐ Business ☐ Other Specify _____ b) Secondary Source ☐ Royalties ☐ Rental ☐ Dividend ☐ Other Specify _____

DETAILS OF RELATIVES, HAVING ACCOUNT WITH TRUSTED SHARES & INVESTMENTS LTD.
(use Additional Sheet if more than 1 relatives having A/c.)

Name	
Relationship	
UCC	☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐

Risk Assessment of Client in terms of PMLA 2002

Type of Client	High Risk	Low Risk	Medium Risk	CSC (Client Special Category)	PEP (Politically Exposed Person)

at the time of account opening

Categorisation of client would be changed only if there is change based on risk assessment of the client during his dealings with Trusted Shares & Investments Ltd.

For TRUSTED SHARES & INVESTMENTS LTD.

Authorised Signatory

To,
TRUSTED SHARES & INVESTMENTS LTD.
112, Churchgate Chambers,
5, New Marine Lines, Mumbai 400 020.
Dear Sir/Madam,

Subject: Aadhar Consent Letter

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/We hereby consent to receiving information from CVL 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 

Authorization for Electronic Contract Note [ECN] - Declaration

VOLUNTARY

To,

TRUSTED SHARES & INVESTMENTS LTD.

112, Churchgate Chambers, 5, New Marine Lines, Mumbai 400 020.

Sub: Authorization for Electronic Contract Notes & Acceptance for Electronic Communication:

Dear Sir / Madam,

_____ a client with Member Trusted Shares & Investments Ltd. of BSE Exchange undertake as follows:

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

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

*(The email id must be written in own handwriting of the client.)

Name	
Signature	

VOLUNTARY

APPLICATION FOR INTERNET BASED TRADING (IBT) & SECURITIES TRADING THROUGH WIRELESS TRADING (STWT)

Date: _____

Branch/ AP Code :

Branch/ AP Name:

User Name	_____		
	(First Name)	(Middle Name)	(Last Name)
Unique Client Code:	_____		
Login ID required	☐	BSE Ltd Approved Mobile App	☐
			Bse Ltd approved Desktop App
(✓ Tick as appropriate)			

Declaration:

- 1) I/ We agree with the terms and conditions specified in Rights and Obligations in respect of IBT and STWT.
- 2) I agree to take all necessary measures for security of User ID and Password. Further, I agree to indemnify for all transactions done through my user ID.
- 3) I/ We have read the Risk Disclosure Document (RDD), Guidance Note, Policies and Procedures. Further, I/We have read and understood the standard set of documents displayed for the information on stock broker's designated website.

Name	
Signature	

(Please consult your professional tax advisor for further guidance on your tax residency FATCA/CRS Guidance)

PAN Client Code Name Gender Type of address given at KYC KRA Residential Residential & Business Business Place of Birth Country of Birth Nationality Gross Annual Income Details in INR Below 1 Lakh 5-10 Lakh 25 Lakh - 1 Crore 1-5 Lakh 10-25 Lakh > 1 Crore

Networth in INR in Lakhs

Rs.: Net worth as on Occupation Details Business Professional Public Sector Housewife Retired Private Sector Government Service Agriculturist Student Forex Dealer Others (Please specify) Politically Exposed Person (PEP) Yes Related to PEP Not Applicable Are you a tax resident of any country other than India? Yes No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country*	Tax identification Number#	Identification Type (TIN or Other, please specify)

* To also include USA, where the individual is a citizen / green card holder of The USA

In case Tax identification Number is not available, kindly provide its functional equivalent \$

Certification

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

Signature

DATE PLACE

For investor convenience, TRUSTED SHARES & INVESTMENTS LTD. is collecting this mandatory information for updating across all account in Equity, Commodity etc...

Please submit the form duly filled, signed, for all the holders, separately and submit it to our office at: **Trusted Shares & Investments Ltd., 112, Churchgate Chambers, 5, New Marine Lines, Mumbai 400 020.**

FATCA & CRS Terms & Conditions

Details under FATCA & CRS. The Central Board of Direct Taxes has notified Rulers 114F to 114H, as part of the Income Tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the propose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you. Please ensure you advise us promptly, i.e. within 30 days. It is important that you respond to our request, even if you believe you have already supplied any previously requested information.

Supplementary KYC Information & FATCA-CRS Declaration - Entities & HUF

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA / CRS Guidance)

*Name of the entity

Type of address given at KYC KRA ☐ Residential & Business ☐ Residential ☐ Business ☐ Regd. Off. ☐

PAN

Date of Incorporation DD / MM / YY YY

City of incorporation

Country of incorporation

Net Worth in INR in ₹ Lakhs Net Worth as on DD/MM/YYYY

Is the entity involved in / providing any of these services:	Foreign Exchange / Money Changer Services	YES	Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)	YES	Money Laundering / Pawning	YES	Any other information
		NO		NO		NO	

Entity Constitution Type
Please tick as appropriate

- ☐ Partnership Firm ☐ HUF ☐ Private Limited Company ☐ Public Limited Company
☐ Society ☐ Aop/BoiSociety ☐ Trust ☐ Liquidator ☐ Limited Liability Partnership
☐ Artificial Judicial Person ☐ Others specify

Please tick the applicable tax resident declaration

1. Is Entity* a tax resident of any country other 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.)

Country	Tax identification Number#	Identification Type (TIN or Other, please specify)

In case Tax identification Number is not available, kindly provide its functional equivalent or Company Identification number or Global Entity Identification Number.

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

FATCA Declaration

(Please consult your professional tax advisor for further guidance on FATCA classification)

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

1. We are a,
 Financial institution ☐
 or
 Direct reporting NFE ☐
 (please tick as appropriate)

GIIN

Note: 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

GIIN not available (Please tick as applicable)

- ☐ Not required to apply for-please specify 2 digits sub-category
☐ Not obtained-Non participating FI

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

1.	Is the Entity a publicly traded company' (that is, a company whose shares are regularly traded on a established securities market)	Yes ☐ No ☐ (If yes, please specify any one stock exchange on which the stock is regularly traded)
		Name of stock exchange _____
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes ☐ No ☐ (If yes, please specify name of the listed company any one stock exchange on which the stock is regularly
		Name of listed company _____
		Name of relation: ☐ Subsidiary of the listed Company or ☐ Controlled by a listed Company
		Name of stock exchange _____
3.	Is the Entity an active NFE	Yes ☐ No ☐ (If yes, please fill UBO declaration in the next section)
		Nature of Business _____
		Please specify the sub-category of Active NFE ☐ ☐
4.	Is the Entity an passive NFE	Yes ☐ No ☐ (If yes, please fill UBO declaration in the next section)
		Nature of Business _____

UBO Declaration

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).
Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name - Beneficial owner / Controlling person	Tax ID Type - TIN or other, please specify.	Tax ID Type - TIN or other, please specify
Country - Tax Residency	Beneficial Interest - in percentage	Beneficial Interest - in percentage
Tax ID No. - or functional equivalent for each country"	Type Code - of countrolling person"	Type Code - of countrolling person"
1. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Type Code _____ Address Type ☐ Residence ☐ Business ☐ Registered Office	Address _____ ZIP _____ State: _____ Country: _____
2. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Type Code _____ Address Type ☐ Residence ☐ Business ☐ Registered Office	Address _____ ZIP _____ State: _____ Country: _____
3. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Type Code _____ Address Type ☐ Residence ☐ Business ☐ Registered Office	Address _____ ZIP _____ State: _____ Country: _____

If passive NFE, please provide below additional details.

PAN/Any other Identification Number

(PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Licence NREGA Job Card, Others)

City of Birth - Country of Birth

Occupation Type - Service, Business, Others

Nationality

Father's Name - Mandatory if PAN is not available

DOB - Date of Birth

Gender - Male, Female, Others

1. PAN

City of Birth

Country of Birth

Occupation Type

Nationality

Father's Name

DOB DD / MM / YYYY

Gender ☒ Male ☐ Female

☐ Others

2. PAN

City of Birth

Country of Birth

Occupation Type

Nationality

Father's Name

DOB DD / MM / YYYY

Gender ☒ Male ☐ Female

☐ Others

3. PAN

City of Birth

Country of Birth

Occupation Type

Nationality

Father's Name

DOB DD / MM / YYYY

Gender ☒ Male ☐ Female

☐ Others

Additional details to be filled by controlling persons with tax residency/permanent residency/citizenship/Green Card in any country other than India.

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

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

FATCA & CRS Terms and Conditions

Towards Compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account opening or any time subsequently. In certain circumstances we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you. Please ensure you advise us promptly, i.e. within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

If any controlling person of the entity is a US citizen or resident or greencard holder, please include United States in the foreign country information field along with the US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are Contained in the US Hire Act 2010. Please note that you may receive more than one request for information if you have multiple relationships with ABC. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information

Certification

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

Name

Designation



Authorised Signatory

Place: _____

Date: _____

Grievance Redressal Mechanism - Stock Broker

Level 1 -

1. **Mode** - Client Can contact us on Office Land Line Number/Mobile numbers-

022 22644636,22666507,22626785,9324029483,8369515293

2. **Electronic Mode** - Email- Client Can write to below email ids-

1. info@trustedshares.com: 2. trusted.shares@gmail.com

3. Refer our Escalation Matrix on website.

Client can file the complaint at the designated Investor Grievance e-mail ID of the stock broker-
bsecomplaints@trustedshares.in

The Stock Broker will strive to redress the grievance immediately, but not later than 30 days of the receipt of the grievance.

Level 2 - Approach the Stock Exchange using the grievance mechanism mentioned at the website of the respective exchange.

Dedicated email id to log Complaint on BSE Ltd:-

https://www.bseindia.com/static/investors/cac_tm.aspx

Through Respective Exchange's Web portal dedicated for the filling of Complaints

<https://bseindia.com/ecomplaint/frmlInvestorHome.aspx>

Level 3 - The complaint not redressed at Stock Broker / Stock Exchange level, may be lodged with SEBI on SCORES (a web based centralized grievance redressal system of SEBI) @ <https://scores.gov.in/scores/Welcome.html>

Level 4- The new SMART ODR Portal (Securities Market Approach for Resolution Through ODR Portal) is now live, pursuant to the SEBI Circular SEBI/HO/OIAE/OIAE_IAD-1/P/CIR/2023/131 dated July31, 2023.

This platform is designed to enhance investor grievance redressal by enabling investors to access Online Dispute Resolution Institutions for the resolution of their complaints.

The SMART ODR Portal has been setup by the 7 Market Infrastructure Institutions (MII's) together with the participation of reputed ODR Institutions.

Link- <https://smartodr.in/login>

Grievance Redressal Mechanism Depository Participant

Level 1 -

1. **Mode** - Client Can contact us on Office Land Line Number/Mobile numbers-

022 22644636,22666507,22626785,9324029483,8369515293

2. **Electronic Mode** - Email- Client Can write to below email ids-

1. info@trustedshares.com: 2. trusted.shares@gmail.com

3. Refer our Escalation Matrix on website.

Client can file the complaint at the designated Investor Grievance e-mail ID of the stock broker-
dpcomplaints@trustedshares.in

The Stock Broker will strive to redress the grievance immediately, but not later than 30 days of the receipt of the grievance.

Level 2 - Approach the Depository using the grievance mechanism mentioned at the website of the respective Depository.

Dedicated email id to log Complaint on CDSL -complaints@cdslindia.com

Through Respective Depository's Web portal dedicated for the filling of Complaints

<https://www.cdslindia.com/Footer/grievances.aspx>

Level 3 - The complaint not redressed at Stock Broker / Stock Exchange level, may be lodged with SEBI on SCORES (a web based centralized grievance redressal system of SEBI) @ <https://scores.gov.in/scores/Welcome.html>

Level 4 - The new SMART ODR Portal (Securities Market Approach for Resolution Through ODR Portal) is now live, pursuant to the SEBI Circular SEBI/HO/OIAE/OIAE_IAD-1/P/CIR/2023/131 dated July31, 2023.

This platform is designed to enhance investor grievance redressal by enabling investors to access Online Dispute Resolution Institutions for the resolution of their complaints.

The SMART ODR Portal has been setup by the 7 Market Infrastructure Institutions (MII's) together with the participation of reputed ODR Institutions.

Link- <https://smartodr.in/login>

Policy Framework for Voluntary Freezing/Blocking Trading account

VOLUNTARY

Risk Management Policy of Kedia Shares & Stocks Brokers Limited

Process for clients to freeze or block online access to their trading accounts as per SEBI Circular No.

SEBI/HO/MIRSD/POD-1/P /CIR/2024/4 dated January 12, 2024

How to Freeze or Block Trading Account:

Whenever client of KEDIA SHARES notice any suspicious activities in their online trading account and/or suspect that login credential of their trading account are breached/hacked and there is an urgent need to address the situation and block/freeze the access and/or activities in their trading account, the client can choose any of the following mode of communication to intimate/send a request to KEDIA SHARES for Voluntary Freezing/Blocking of their online Trading Account.

Option A: Clients can call on **9819961981** from their registered Mobile Number.

Option B: Clients can send an email to compliance@kediashares.com from their registered email ID.

Processing of Requests:

Upon receipt of the email/sms, the KEDIA SHARES team will carry out the validation process as under;

1. Verify the sender's email Id/Mobile Number:

Acknowledgement and Actions Steps:

1. An acknowledgement of the freezing/blocking request will be sent to the client's registered email address.

2. Details of any open positions will be provided.

3. All pending orders will be cancelled.

Account Reactivation Steps:

Clients wishing to unfreeze/unblock their account must send an email to compliance@kediashares.com or message on 9819961981 from their registered email ID/ Mobile No.

Upon receipt of the email/ Message the KEDIA SHARES team will contact the client to confirm the identity of client and genuineness of request, reset the login access credentials to the system default and communicate it to clients through its registered email Id / Mobile Number and unfreeze the trading account.

This facility is live as of 1st July, 2024.

This policy is in accordance with Exchange Circular NSE/INSP/61529 and 20240408-12 (BSE) and can be viewed as part of our Risk Management Policy.

If you have any specific questions about this process, feel free to ask at admin@kssbmail.com or call on 9819961981

Signature of the Client 

: : : : : (Please Tear here) : : : : :

Received nomination from:

ACKNOWLEDGEMENT RECEIPT

DP ID	1	2	0	5	7	9	0	0	Client ID	0	0								
Exchange ID									UCC Code										
Name																			
Address																			
Nomination in favour of																			
First Nominee																			
Second Nominee																			
Third Nominee																			
No Nomination		☐ Would like to opt out nomination																	
Registration No.										Registered on		D	D	M	M	Y	Y	Y	Y

For TRUSTED SHARES & INVESTMENTS LTD.

(Authorised Signatory)

to,

TRUSTED SHARES & INVESTMENTS LTD. **Acknowledgement**

112, Churchgate Chambers, 5, New Marine Lines, Mumbai 400 020.

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

- Account Opening Form
- Tariff Sheet
- Right and Obligations of Equity Market, Commodity Brokers, Authorised Person and Clients
- Risk and Disclosure document for Equity Market and Commodity market.
- Policies and Procedures
- Guidance Note - Do's and Don'ts for trading on the Exchange(s) for Investors.
- Other disclosure/documents as agreed by me specifically in voluntary segment.

I/We am/are abiding by these terms & conditions. I/we reconfirm that I/we, Equity and Commodity Broker shall refer any claim and/or disputes with respect to trade, deposits, margin money, etc to arbitration as per the Rules, Byelaws and Regulation of the Exchanges and the circulars/notices issued there under as may be in force from time to time.

I also confirm that it is informed that the Risk Disclosure Document, Right and Obligations, Do's and Don'ts and other relevant documents are also available on member's website.

Yours faithfully,

Name	
Signature	