

ANNEXURE – 1  
INDEX OF DOCUMENTS

S.N.	Name of the Document	Brief Significance of the Document	Pg. No
<b>A. MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES:</b>			
1.	Account Opening Form	A. CKYC & KRA form - Document captures the basic information about the constituent and an instruction/check list.	3-12
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	13-15
2.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	16-18
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<b>B. VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
4.	Running Account Authorisation	This letter is authorisation to maintain fund on running account basis & for authorisation to receive contract as well other relevant documents.	20
5.	Authorisation for Communication in Digital Format	This mandate is to authorisation to issue contract notes in digital mode. It provides terms and conditions for the issuance of digital contract note.	21
6.	Common Mobile & E mail id	As per format	22
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### Details of Trading, Clearing Member and Depository Participant

Name of stock broker : **TRUSTED SHARES & INVESTMENTS LTD.**  
Regd./Correspondence office : 112, Churchgate Chambers, 5, New Marine Lines, Mumbai 400 020.  
Telephone Numbers : 022- 2266 6507, 2264 4636, 2262 6785, 9324029483, 8369515295  
Email : info@trustedshares.com, trusted.shares@gmail.com  
SEBI Registration No. and Date : INZ000270035 and Date: 27.06.2019  
SEBI Registration No. of CDSL : IN-DP-547-2021 and Date: 07.01.2021  
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](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.gov.in](http://www.scores.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/PIOCard/OCI Card and overseas address proof is mandatory.
- 8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- 9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- 10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- 11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

- 1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
- 2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
- 3. Identity card/ document with applicant's Photo, issued by any of the following: Central/ State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): - List of documents admissible as Proof of Address:

- (\*Documents having an expiry date should be valid on the date of submission.)
- 1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/

Driving License/Flat Maintenance bill/Insurance Copy.

- 2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- 3. Bank Account Statement/Passbook - Not more than 3 months old.
- 4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- 5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
- 6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- 7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- 8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(\*Sufficient documentary evidence in support of such claims to be collected.)

- 1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- 2. Investors residing in the state of Sikkim.
- 3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- 4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
- 5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

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

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

**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.



TRUSTED SHARES & INVESTMENTS LTD.

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

MANDATORY

Important Instructions:

- 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) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.
- F) Please read section wise detailed guidelines / instructions at the end.

G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.

H) List of two character ISO 3166 country codes is available at the end.

I) KYC number of applicant is mandatory for update application.

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.

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)

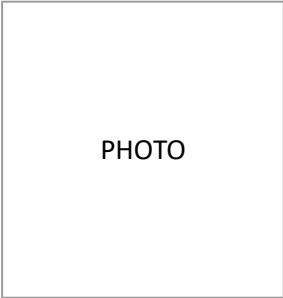
1. PERSONAL DETAILS (Please refer instruction A at the end)

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

<input type="checkbox"/> A- Passport Number	
<input type="checkbox"/> B- Voter ID Card	
<input type="checkbox"/> C- Driving Licence	
<input type="checkbox"/> D- NREGA Job Card	
<input type="checkbox"/> E- National Population Register Letter	
<input type="checkbox"/> F- Proof of Possession of Aadhaar	X X X X X X X X
<input type="checkbox"/> E- KYC Authentication	X X X X X X X X
<input type="checkbox"/> Offline verification of Aadhaar	X X X X X X X X



Signature/Thumb impression

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)

<input type="checkbox"/> A- Passport Number	
<input type="checkbox"/> B- Voter ID Card	
<input type="checkbox"/> C- Driving Licence	
<input type="checkbox"/> D- NREGA Job Card	
<input type="checkbox"/> E- National Population Register Letter	

☐ F- Proof of Possession of Aadhaar

X

X

X

X

X

X

X

X

II ☐ E- KYC Authentication

X

X

X

X

X

X

X

X

III ☐ Offline verification of Aadhaar

X

X

X

X

X

X

X

X

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:

D

D

—

D

D

—

Y

Y

Y

Y

Place:

Signature / Thumb Impression of Applicant

☐ 7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UDAI ☐ 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]

TRUSTED SHARES & INVESTMENTS LTD.

CENTRAL KYC REGISTRY - KNOW YOUR CLIENT (KYC) APPLICATION FORM - LEGAL ENTITY/OTHER THAN INDIVIDUALS MANDATORY

- Important Instructions:  
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.

For office use only Application Type\* ☐ New ☐ Update  
(To be filled by financial institution) KYC No. (Mandatory for KYC update required)

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

☐ Name\*

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\* ☐

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

Line 1\*

Line 2

Line 3

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

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 provided may be used) (Please refer instruction D at the end)

Tel. (Off) - Fax -

Mobile - Email ID

Mobile - Email ID

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

[illegible]

- Date: DD - DD - YY YY Place: Signature / Thumb Impression of Applicant

Signature / Thumb Impression of Applicant

☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY												
Identity Verification	<input checked="" type="checkbox"/>	Done	Date:	<input type="text"/>	-	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Emp. Name:	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Emp. Code:	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Emp. Designation:	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Emp. Branch:	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
[Employee Signature]												

INSTITUTION DETAILS	
Name	<b>TRUSTED SHARES &amp; INVESTMENTS LTD.</b>
Code	<input type="text"/>
[Institution Stamp]	

2. In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available.

- ### Clarification / Guidelines on filling 'Proof of Address [PoA] section

- #### Clarification / Guidelines on filling 'Contact details' section

- ### Clarification / Guidelines on filling 'Related Person details' section

- Provision for capturing signature of multiple authorised persons is to be made by the RE.

TRUSTED SHARES & INVESTMENTS LTD.

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)

☐ 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

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

Address

Line 1\*

Line 2

Line 3

District\*

City/Town/Village\*

PIN/Post Code\*

State /U. T. Code\*

ISO 3166 Country Code\*

PHOTO



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



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: <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others _____
MICR Code:
<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>
IFSC Code (for RTGS)
<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>

Bank - 2
Bank Name
Branch
Address
Account No.
Account Type: <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others _____
MICR Code:
<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>
IFSC Code (for RTGS)
<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>

B. DEPOSITORY ACCOUNT(S) DETAILS

Demat - 1
Depository: <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL
DP Name
Beneficiary Name
DP ID:
<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>
BO ID:
<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>

Demat - 2
Depository: <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL
DP Name
Beneficiary Name
DP ID:
<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>
BO ID:
<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>

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
	<div><div></div><div></div></div>

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	
<div><div><input type="checkbox"/> Upto Rs. 1,00,000/-</div><div><input type="checkbox"/> Rs. 1,00,001/- to Rs. 5,00,000/-</div><div><input type="checkbox"/> Rs. 5,00,001/- to Rs. 10,00,000/-</div><div><input type="checkbox"/> Rs. 10,00,001/- to Rs. 25,00,000/-</div><div><input type="checkbox"/> Rs. 25,00,001/- to Rs. 100,00,000/-</div><div><input type="checkbox"/> Above Rs. 100,00,001/-</div></div>	
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)	<div><div><input type="checkbox"/> Private Sector</div><div><input type="checkbox"/> Public Sector</div><div><input type="checkbox"/> Government Service</div><div><input type="checkbox"/> Business</div><div><input type="checkbox"/> Student</div><div><input type="checkbox"/> Professional</div><div><input type="checkbox"/> Agriculturist</div><div><input type="checkbox"/> Retired</div><div><input type="checkbox"/> Housewife</div><div><input type="checkbox"/> Others</div></div>
3. Please tick, if applicable	<div><div><input type="checkbox"/> Politically Exposed Person (PEP)</div><div><input type="checkbox"/> Related to a Politically Exposed Person (PEP)</div></div>
4. Is the entity involved/providing any of the following services	<div><div><input type="checkbox"/> YES</div><div><input type="checkbox"/> NO</div></div> <div><div>- For Foreign Exchange / Money Changer Services</div><div><input type="checkbox"/> YES</div><div><input type="checkbox"/> NO</div></div> <div><div>- Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)</div><div><input type="checkbox"/> YES</div><div><input type="checkbox"/> NO</div></div> <div><div>- Money Lending / Pawning</div><div><input type="checkbox"/> YES</div><div><input type="checkbox"/> NO</div></div>
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.

## POLICIES AND PROCEDURES

### MANDATORY

#### 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 extent 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

MANDATORY

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

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 

**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 calender 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	



Family Declaration - Email/ Mobile Updation in Family Codes  
(Compulsory in case having common email & mobile in more than one account in Trusted Shares & Investments Ltd.)

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

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

**Subject: Family Declaration for registering common Mobile / Email details**

I request you to register the following mobile number and/or email id in my demat and/or trading account(s) to be opened with you.




Mobile No.: \_\_\_\_\_ Email ID: \_\_\_\_\_

I and my family members hereby request that mobile number and email id, as mentioned above shall be considered in your records for the purpose of receiving communication from Trusted Shares & Investments Ltd. or Stock Exchanges/Depositories with regard to trading/demat transactions executed by me/us through Trusted Shares & Investments Ltd.

This facility shall be provided to me/us as an additional, for my/our convenience of receiving transaction details at a single mobile number and e-mail id. I/we understand that this facility is availed only by the family members where "family" means self, spouse, dependent children and dependent parents. (As per the SEBI Guidelines).

Sr. No.	Client Name	Trading Code	BO ID	Relationship	Signature
1.				Self	
2.				Dependent Parent - Mother	
3.				Dependent Parent - Father	
4.				Spouse	
5.				Dependent Daughter	
6.				Dependent Son	
7.					
8.					

Thanking You,

	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	
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)																	
Status	Sub – Status																	
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident				<input type="checkbox"/> Individual-Director				<input type="checkbox"/> Individual Director's Relative									
	<input type="checkbox"/> Individual HUF / AOP				<input type="checkbox"/> Individual Promoter				<input type="checkbox"/> Individual Margin Trading A/C (MANTRA)									
	<input type="checkbox"/> Minor				<input type="checkbox"/> Others (specify)													
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable				<input type="checkbox"/> NRI Non-Repatriable				<input type="checkbox"/> NRI-Repatriable Promoter									
	<input type="checkbox"/> NRI Non-Repatriable Promoter				<input type="checkbox"/> NRI – Depository Receipts				<input type="checkbox"/> Others (specify)									
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign - National				<input type="checkbox"/> Foreign National - Depository Receipts				<input type="checkbox"/> Others (specify)									

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')													<input type="checkbox"/> Yes <input type="checkbox"/> No				
I/We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be `No')													<input type="checkbox"/> Yes <input type="checkbox"/> No				
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly																
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID													<input type="checkbox"/> Yes <input type="checkbox"/> No				
I/We would like to share the email ID with the RTA													<input type="checkbox"/> Yes <input type="checkbox"/> No				
I/We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> 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 ]													<input type="checkbox"/> Yes <input type="checkbox"/> No				
I/We wish to receive CAS (Consolidated Account Statement)													<input type="checkbox"/> Yes <input type="checkbox"/> No				
I/We wish to avail BSAD facility													<input type="checkbox"/> Yes <input type="checkbox"/> 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	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> 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:

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

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.

<input type="checkbox"/> First Holder	<input type="checkbox"/> All Holder	Email id
	<input type="checkbox"/> Second Holder	
	<input type="checkbox"/> Third Holder	

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

(Signatures should be preferably in black ink).

NOMINATION FORM  
Declaration Form for opting out of nomination

To, TM/DP Name & Address	<b>TRUSTED SHARES &amp; INVESTMENTS LTD.</b> <b>112, Churchgate Chambers, 5, New Marine Lines, Mumbai 400 020.</b>
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Dear Sir/Madam,

☐ I/We hereby confirm that I/We do not wish to appoint any nominee(s) in my/our trading/demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account Holder(s), my/our legal heirs would need to submit all the requisite documents/information for claiming of assets held in. My/our trading/demat accounts, which may also include documents issued by Court or other such competent authority. Based on the value of assets held in the trading/demat account.

[Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form].

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

Note:

Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination / opt out nomination.

☐ I/We nominate the following person/s who is entitled to receive all Assets / security balances lying in my/our account, particulars whereof are given below, in the event of the death of te Sole holder or the death of all the Joint Holders.

BO Account Details-Demat /Trading Account Details																
DP ID	1	2	0	5	7	9	0	0	Client ID	0	0					
Exchange ID	B	S	E		L	T	D.		UCC Code							
Name of the Sole / First Holder																
Name of Second Holder																
Name of Third Holder																

Nomination Details	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1. First Name			
Middle Name			
Last Name			
2. Share of each Nominee Equally (If not equally, please specify percentage)	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.			
3. *Residual Securities (Please tick any one nominee, if tick not marked the default will be first nominee)			
3A. Relationship With the Applicant (If Any)			
4. Address of Nominee(s)			
City			
State			
Pin			
Country			
5. Mobile No./Tele. No. [Optional Fields]			
6. E-mail ID [Optional Fields]			
7. Fax No. [Optional Fields]			
*Relationship with the BO			
8. Nominee Identification details [Please tick any one of following and provide details of same]			
<input type="checkbox"/> Photograph & Signature			
<input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar			
<input type="checkbox"/> Saving Bank account no.			
<input type="checkbox"/> Proof of Identity			
<input type="checkbox"/> Demat Account ID			

10. Address of the Guardian(s)			
City			
State & Country			
Pin			
11. Mobile/Tele. no. [Optional Fields]			
12. E-mail ID [Optional Fields]			
Fax No: [Optional Fields]			
13. Relationship of the Guardian with the Nominee 14. Guardian Identification details [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			

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

**\*\*Note:** Residual securities: incase of multiple nominees, remaining after distribution of securities as per percentage of allocation. shall be transferred to the first nominee.

\* Marked is Mandatory field

Note:  
Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination / opt out nomination.

Details of the Witness	
	Witness Details
Names of Witness	
Address of Witness	
Signature of Witness	<div>W</div>

Note: This nomination shall supersede any prior nomination made by the account holder(s), if any.

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

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

The Broker /Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

(To be filled by StockBroker/DP)

Nomination Form accepted and registered wide Registration No. \_\_\_\_\_ dated \_\_\_\_\_

For Trusted Shares & Investments Limited

Authorized Signatory

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)																					
Status										Sub – Status													
<input type="checkbox"/> Body Corporate		<input type="checkbox"/> Banks		<input type="checkbox"/> Trust		<input type="checkbox"/> Mutual Fund		<input type="checkbox"/> OCB		<input type="checkbox"/> FII		To be filled by the DP											
<input type="checkbox"/> CM		<input type="checkbox"/> FI		<input type="checkbox"/> Clearing House		<input type="checkbox"/> Other (Specify)																	
Date of Incorporation																							
SEBI Registration No. (If Applicable)										SEBI Registration Date													
RBI Registration No. (If Applicable)										RBI Approval Date													
Nationality		<input type="checkbox"/> Indian <input type="checkbox"/> 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')												<input type="checkbox"/> Yes <input type="checkbox"/> No			
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be `No')												<input type="checkbox"/> Yes <input type="checkbox"/> No			
Account Statement Requirement		<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly													
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____												<input type="checkbox"/> Yes <input type="checkbox"/> No			
I/ We would like to share the email ID with the RTA												<input type="checkbox"/> Yes <input type="checkbox"/> No			
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> 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]												<input type="checkbox"/> Yes <input type="checkbox"/> No	
--	--	--	--	--	--	--	--	--	--	--	--	--	--




Bank Details (Dividend Bank Details)											
Bank Code (9 digit MICR code)											
IFS Code (11 character)											
Account number											
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> 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.

<b>OTHER DETAILS</b>	
1. <b>Gross Annual Income Details (please specify):</b> Income Range per annum: <input type="checkbox"/> Below Rs 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25 Lacs -1 Crore <input type="checkbox"/> > 1 Crore	
2. <b>Net-worth as on</b> (date)_____ (_____ ) (Net worth should not be older than 1 year)	
3. 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) <input type="checkbox"/> . Please provide details as per Annexure 2.2 A.	
4. <b>Any other information:</b> _____	

<b>SMS Alert Facility</b> Refer to Terms & Conditions given as Annexure-2.4	<input type="checkbox"/> Yes <input type="checkbox"/> 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).
<i>easi</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No To register for easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

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  
28



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.

**Redressal of Investor grievance**

26. 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**

27. 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**

28. 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.
29. 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.
30. 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.
31. 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
32. 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.
33. 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](mailto: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 warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with

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

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

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

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

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

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

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

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

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

BOID

1	2	0	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	1205790000000189	CM Principal 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)

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Central Depository Services (India) Ltd. (CDSL)

Regd. Office: Marathon Futurex, A-Wing, 25th floor, NM Joshi Marg, Lower Parel, Mumbai 400013.  
Tel.: +91 22 2305-8640/8624/8639/8642/8663 • Email: helpdesk@cdslindia.com  
Electronic Access to Securities Information & Execution of Secure Transactions (easiest)



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	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

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

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

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

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.

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

Place : Mumbai

For Trusted Shares & Investments Ltd.

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		

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	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 atf. 1 yr.)	*Rs.3000/- (Individual) and for NRI 5000/- *Rs.5000/- (Corporate)+(Rs.800 AMC Yrl)	Rs. 2000/- (Individual) Rs. 3000/- (Corporate) + Rs. 500/- (AMC Yrl)	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)		N.A.	
4.	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				
	Off Mkt Out TS	Rs.45/- per ISIN Outside TSIL OR 0.04% of the mkt	Rs.45/- per ISIN Outside TSIL OR 0.04% of the mkt	Rs.45/-per ISIN Outside TSIL OR 0.04% of the mkt.	
	Off Mkt With TS within CDSL	Rs.40/- per ISIN or 0.04% of the mkt. value which ever is higher.	Rs.40/- per ISIN or 0.04% of the mkt. value which ever is higher.	Rs.40/- per ISIN or 0.04% of the mkt. value which ever is higher.	
5.	Dematerialisation Request	Rs.100/- per ISIN + Postage and 0.04% mkt value whichever is higher	Rs.100/- per ISIN + Postage and 0.04% mkt value whichever is higher	Rs.100/- per ISIN + Postage and 0.02% mkt value whichever is higher	
6.	Rematerialisation Request	Rs.50/-per ISIN + Actual Postage Charges	Rs.50/-per ISIN + Actual Postage Charges	Rs.50/-per ISIN + Actual Postage Charges	
7.	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	
8.	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	
9.	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	
10.	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/-	
11.	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. \*(Conditions Applied)

**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, SUB: LETTER OF DEBIT AUTHORISATION: I am client of TRUSTED SHARES & INVESTMENTS LTD. having client code _____ & 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)		Date: _____	
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)			

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

HUF DECLARATION

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

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

CLIENTS DETAILS

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

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

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:																						
<ul style="list-style-type: none"><li>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.</li><li>I am aware that the Member has to provide electronic contract note for my convenience on my request only.</li><li>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.</li><li>I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.</li><li>My email id is * _____ . This has been created by me and not by someone else.</li><li>I am aware that this declaration form should be in English or in any other Indian language known to me.</li><li>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.</li></ul>																						
{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:																						
<table><tr><td>User Name</td><td colspan="3">_____</td></tr><tr><td></td><td>(First Name)</td><td>(Middle Name)</td><td>(Last Name)</td></tr><tr><td colspan="4">Unique Client Code: _____</td></tr><tr><td>Login ID required</td><td><input type="checkbox"/></td><td>BSE Ltd Approved Mobile App</td><td><input type="checkbox"/> Bse Ltd approved Desktop App</td></tr><tr><td colspan="4">( ✓ Tick as appropriate)</td></tr></table>			User Name	_____				(First Name)	(Middle Name)	(Last Name)	Unique Client Code: _____				Login ID required	<input type="checkbox"/>	BSE Ltd Approved Mobile App	<input type="checkbox"/> Bse Ltd approved Desktop App	( ✓ Tick as appropriate)			
User Name	_____																					
	(First Name)	(Middle Name)	(Last Name)																			
Unique Client Code: _____																						
Login ID required	<input type="checkbox"/>	BSE Ltd Approved Mobile App	<input type="checkbox"/> Bse Ltd approved Desktop App																			
( ✓ Tick as appropriate)																						
Declaration:																						
<ol style="list-style-type: none"><li>I/ We agree with the terms and conditions specified in Rights and Obligations in respect of IBT and STWT.</li><li>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.</li><li>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.</li></ol>																						
Name																						
Signature																						

TRUSTED SHARES & INVESTMENTS LTD.

Supplementary KYC Information & FATCA-CRS Declaration - Individuals

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

PAN

Client Code

Name

Gender

M

F

O

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, seperately 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.

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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

D

D

/

M

M

/

Y

Y

Y

Y

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

NO

Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)

YES

NO

Money Laundering / Pawning

YES

NO

Any other information

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 applicabe)

☐ Not required to apply for-please specify 2 digits sub-category

☐ Not obtained-Non participating FI

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

1.	Is the Entity a publicly traded company' ( <i>that is, a company whose shares are regularly traded on a established securities market</i> )	Yes <input type="checkbox"/> No <input type="checkbox"/> ( <i>If yes, please specify any one stock exchange on which the stock is regularly traded</i> ) Name of stock exchange _____
2.	Is the Entity a related entity of a publicly traded company ( <i>a company whose shares are regularly traded on an established securities market</i> )	Yes <input type="checkbox"/> No <input type="checkbox"/> ( <i>If yes, please specify name of the listed company any one stock exchange on which the stock is regularly</i> ) Name of listed company _____ Name of relation: <input type="checkbox"/> <i>Subsidiary of the listed Company or</i> <input type="checkbox"/> <i>Controlled by a listed Company</i> Name of stock exchange _____
3.	Is the Entity an active NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> ( <i>If yes, please fill UBO declaration in the next section</i> ) Nature of Business _____ Please specify the sub-category of Active NFE <input type="checkbox"/> <input type="checkbox"/>
4.	Is the Entity an passive NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> ( <i>If yes, please fill UBO declaration in the next section</i> ) 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 controlling person"		Type Code - of controlling person"	
1. Name		Tax ID Type		Address	
Country		Type Code			
Tax ID No.		Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	ZIP <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> State: Country:	
2. Name		Tax ID Type		Address	
Country		Type Code			
Tax ID No.		Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	ZIP <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> State: Country:	
3. Name		Tax ID Type		Address	
Country		Type Code			
Tax ID No.		Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	ZIP <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> State: Country:	

# If passive NFE, please provide below additional details.

PAN/Any other Identification Number <small>(PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Licence NREGA Job Card, Others)</small>		Occupation Type - <small>Service, Business, Others</small>		DOB - <small>Date of Birth</small>	
City of Birth - Country of Birth		Nationality		Gender - <small>Male, Female, Others</small>	
Father's Name - <small>Mandatory if PAN is not available</small>					
1. PAN		Occupation Type		DOB	
City of Birth		Nationality		Gender	
Country of Birth		Father's Name		Others	
2. PAN		Occupation Type		DOB	
City of Birth		Nationality		Gender	
Country of Birth		Father's Name		Others	
3. PAN		Occupation Type		DOB	
City of Birth		Nationality		Gender	
Country of Birth		Father's Name		Others	
<p># Additional details to be filled by controlling persons with tax residency/permanent residency/citizenship/Green Card in any country other than India.</p> <p>* To include US, where controlling person is a US citizen or green card holder</p> <p>" In case Tax Identification Number is not available, kindly provide functional equivalent.</p>					
FATCA & CRS Terms and Conditions					
<p>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).</p> <p>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 reveive more that 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</p>					
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](https://www.bseindia.com/static/investors/cac_tm.aspx)

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

<https://bseclrs.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>

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## 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>

===== ( 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		<input type="checkbox"/> 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)

Acknowledgement

To,  
**TRUSTED SHARES & INVESTMENTS LTD.**  
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 Co mmodity 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	

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