

INSTRUCTIONS FOR THE APPLICANTS FOR ACCOUNT OPENING

Applicant shall fill up the KYC Application form as specified by the KYC Registration Agency for individuals or for Non-Individuals as the case may be and additional KYC Form for opening a Demat Account for Individuals (Annexure 2.1) or for Non-Individuals (Annexure 2.2) and submit the same to the DP. The applicant should submit any one of the documents as valid Proof of Identity and Proof of address as specified by SEBI from time to time. If the investor is already KRA compliant, the investor should disclose such details of KRA with whom he / she is registered. Such investor need not submit KYC documents and KYC application form again. A Power of Attorney holder cannot open a demat account on behalf of the BO. DP must collect separate KYC application forms from sole / first holder, second holder and third holder in case of Joint Accounts. In case, if sole holder is a minor, KYC application form should be collected from the guardian also. Separate KYC application form to be collected from the HUF entity, Karta, Trust and Trustees in case of unregistered Trust and Partnership Firms. In order to open an account, the investor needs to fill up KYC Application form (if not KRA compliant) and Additional KYC form for opening a demat account. As per the format provided by CDSL (Annexures 2.1 or 2.2). The investor shall complete the standard form in all respects and submit the same to the DP along with the relevant documents as prescribed by SEBI vide circular no. MIRSD/SE/CIR-21/2011 dated October 5, 2011 & circular no. MIRSD/CIR-26/2011 dated December 23, 2011. However, the DPs can obtain a single form from the CM for opening the multiple accounts of same exchange, e.g. CM Principal and CM USA accounts for BSE and CM Clearing Member for exchanges other than BSE. Instructions to the applicants / BOs for account opening as given in Annexure 2.3 may also be printed on the account opening forms or given to the BOs as a separate sheet along with the accounting form. Those section of the application form, which are not relevant to any particular type of BO, shall be marked "Not Applicable". BO must provide photocopies of documents submitted on regular paper and not on thermal facsimile paper.

Obtaining PAN Card details of all holders is compulsory for all categories of demat account holder (s) & updation of the same in CDSL system. In some cases, the PAN is not required to be entered. Such cases are to be handled by entering appropriate exemption code. The exemption codes provided are as follows:

Exemption Code	D	G	P	S	U	H
Exemption Description for the account holder	Custodian	Governor	President of India	Sikkim Resident	UN entities / Multilateral Agencies	Holder Deceased

CHECK-LIST → (All the documents must be self attested by applicant)

(A) Correspondence Address

- This is applicable to all types of investors. • If correspondence address of the BO is not the same as permanent address, then the DP shall obtain proof of correspondence address and enter the same in the system, in case the BO is not registered with KRA.
- If the BO is registered with KRA and wants to use the same correspondence address mentioned in the KRA system, the BO will inform the DP accordingly. • If the BO is registered with KRA and does not want to use the correspondence address mentioned in the KRA system, the BO will inform the DP and submit SEBI specified proof of address document for the address to be entered on CDSL system.
- As per SEBI Circular No. CIR/MRD/DP/37/2010 dated December 14, 2010, address of a third party as a correspondence address, may be captured in a BO account provided that the Depository Participant (DP) ensures that all prescribed 'Know Your Client' norms are fulfilled for the third party also. The DP shall obtain proof of identity and proof of address for the third party. The DP shall also ensure that customer due diligence norms as specified in Rule 9 of Prevention of Money Laundering Rules, 2005 are complied with in respect of the third party.
- Where third party address is accepted as correspondence address, the DP shall ensure that proof of permanent address for the BO has been obtained and the same has been entered in the system. DPs should ensure that the statement of transactions and holdings are sent to the BO's permanent address atleast once in a year. • In case of PMS accounts, portfolio manager's address cannot be captured as correspondence address.

(B) Minor Details

The minor shall be the first and sole holder in the account i.e. there shall not be any joint accounts where a minor is a First / Second / Third joint holder. PAN card details of minor have to be entered in CDSL system.

In case of death of Guardian of existing Minor account holder:

In the case of death of the guardian of an existing minor account holder, the following procedure shall be followed:

- Original Death Certificate of the deceased Guardian or a copy of the same, duly notarized or attested by a Gazetted Officer.
- The new guardian shall submit a fresh Nomination Form for the minor's account.
- Original or copy of the Court Order (duly notarized or attested by a Gazetted Officer), if the new guardian has been appointed by the Court.
- The new guardian shall submit a new account opening form duly complete in all respects along with KYC application form or details of KRA registered with.
- A fresh DP-BO agreement shall be executed between the DP and the new guardian.
- The new guardian shall submit a fresh Nomination Form for the minor's account.
- After verification of the AOF and documentation, details of the Guardian of the Minor account holder shall be suitably modified in the CDSL system.
- The signature of the deceased guardian shall be deleted and the signature of the new guardian shall be recorded in the CDSL system.
- POA documents/details, if any, recorded with the signature of the deceased guardian shall be deleted.

After the minor has attained majority, DP must collect new KYC application form after the minor has attained majority. The following procedure is to be adopted: • The account holder shall submit KYC application form or details of KRA registered with. • The account holder shall submit a new account opening form duly complete in all respects and enter into a fresh agreement with the DP duly signed by the account holder and DP. • The guardian's details shall be deleted and guardian's signature shall be replaced by account holder's signature.

The above procedure can be followed only if the word 'minor' is not present in the "Account Holder's name" when the account was opened. If "minor" word is present, then the existing account has to be closed and a new account shall be opened.

(C) HUF

The documents to be obtained are:

- The PAN details of the HUF entity would have to be entered in the CDSL system.
- Declaration by Karta giving details of the family members of the HUF with their names, sex (male/ female), date of birth and relationship with the Karta.
- DPs shall note the following while opening a HUF account:
 - HUF accounts cannot be opened with joint holder(s).
 - HUF accounts cannot appoint a nominee.
 - In the account opening form, the Karta shall sign under the HUF stamp.
 - Account can be opened in the name of - Existing Karta / HUF entity
 - The name shall be as it appears in the PAN card, e.g. A H Doshi & Sons, Bal Govind Zangle (HUF).
 - In case POA is to be given by the karta to some other entity to operate the HUF Account, the POA shall be signed by all the members of the HUF account in addition to the karta.

Procedure to be adopted in the event of death of Karta is as follows:

- HUF, being a Hindu Undivided Family, the property of the family is managed by the Karta. • HUF does not come to an end in the event of death of the Karta. In such a case, the members of the HUF will appoint the new Karta. • The new karta shall submit the new list of members and a no objection from the surviving members of the HUF for him to act as Karta of the HUF. • The new Karta will submit to the DP the account modification form and record change in signature of the new Karta to operate the account. • The previous account need not be closed and the same account can continue.

Procedure to be followed in case of partition of HUF:

In case of partial partition of the HUF, if one or two members of the HUF have left, the others can still continue the HUF in the existing name. In case of full partition, the entire HUF is dissolved. In both the above cases, the Karta can transfer shares to the members who seek partition. If the issue of transfer cannot be amicably settled, the family members can go to court and transfer of shares can then be based on the Court directions.

Procedure to be followed in case of POA being given for the HUF

The Power of Attorney (POA) document shall be signed by the Karta of the HUF and all the co-parceners.

(D) NRI

- In case of foreign address, if address with P.O. Box No. has been submitted as Permanent and/or Correspondence address. Additionally the DPs shall obtain the complete residential address of the NRI BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.
- A declaration duly signed by the NRI that he/she has complied with and will continue to comply with, FEMA regulations and other applicable laws.

Change of status from NRI to Resident and vice versa:

It is the responsibility of the individual to inform the change of status to the DP with whom he/she has opened the demat account. Subsequently, a new demat account in the new status will have to be opened, securities shall be transferred from the old demat account to the new demat account and then the old demat account shall be closed.

(E) Foreign Nationals

- Documents – same as NRI.
- If the foreign address with P.O. Box No. is given as Permanent and/or Correspondence address, additionally, the DPs should obtain the complete residential address of the Foreign National BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.

(F) Association of Persons (AOP)

- Object of the association.
- Powers of the Managing Committee.
- Copy of the Bye Laws.

(G) **Proprietary / Partnership Firms**

BO accounts in the name of the Proprietorship Concern or Partnership Firm cannot be opened in CDSL system. KYC application form / KRA details are to be obtained for proprietor / partners and partnership firm. For Partnership firm, Partnership deed is also to be obtained. The pan card details of the partnership firm / proprietor is to be updated in the CDSL system.
BO's Account can have a maximum of three names associated with it: the Sole/ First Account holder, the First Joint holder and the Second Joint holder. One passport-size photograph of each applicant shall be pasted on the form along with their signatures across the photograph and Account Opening Form.

(H) **Foreign Corporate**

A duly signed declaration that the corporate has complied with, and will continue to comply with, FEMA Regulations and other applicable laws.

(I) **Clearing Member (CM)**

- a) **If CM is a corporate body:** True copy of certificate of registration with SEBI, certified by Managing Director/Company Secretary / notarized.
b) **If CM is a not a corporate body:** • The CM account (CM Pool / CM Principal / 1 / Early Pay-in) may be opened in the CDSL system:
i)- either in the name of the partnership firm/entity as mentioned on the Certificate of Registration with SEBI, or ii)- in the name of the proprietor or partners (up to three partners). • Photocopy of Certificate of Registration with SEBI, duly notarized.
c) **Asset Management Company (AMC) Pool Account:** • This account is linked with a stock exchange.
Following document is to be submitted by the AMC for opening the pool account with any DP of CDSL for the purpose of settlement of mutual fund units: • Letter / circular / instructions issued by the concerned Stock Exchange indicating the CM ID.

(J) **OCBs**

- a) Certified true copy of Board Resolution, certified by Managing Director/Company Secretary for persons authorized by the Board to act as authorized signatory (ies).
b) Names of the authorized signatory (ies), designation, photographs and their specimen signatures, certified by Managing Director/Company Secretary.
c) Memorandum and Articles of Association of the Company.
d) RBI Registration Certificate.
e) Declaration from the OCB that it meets with the guidelines issued by RBI / Ministry of Finance.
f) Certificate from overseas auditors in Form OAC or OAC – 1, as may be applicable.
g) Statement of account from the Bank.

(K) **Society**

Registered Society: The account shall be opened in the name of the society.
Unregistered Society: a) The account shall be opened in the names of the members under "Individual" category (maximum three accountholders).
b) All the documents, as applicable for account opening under individual category, shall be obtained.

(L) **Trust**

Public Trust/ Charitable Trust and Trust capable of holding property in its name (Registered Trust /Public Trust):

- a) Account shall be opened in the name of the Trust.
b) Certificate of Registration of Trust under the Societies Registration Act/Public Trust Act,1860 / Bombay Public Trust Act,1950 / Public Trust Act, of relevant State.
c) Certified true copy of Board Resolution to open the demat account and specifying the persons authorized by the Board to act as Authorized signatory(ies) to operate the demat account.
d) Names of the authorized signatories, designation, and their specimen signatures duly verified by the Managing Trustee.

Private Trust:

- a) The Board of Trustees shall specify the names of the trustee/s who shall hold/ operate the demat account.
b) The account shall be opened in the names of the trustees under "Individual" category of the first named trustee (maximum three account holders).

Recognized' Funds / Trusts/ Other similar entities.

The Funds/ Trusts/ Entities presently included under this category are as follows:

- a) Employees Provident Fund, which have been recognized by the Provident Fund Commissioner under Employee's Provident Funds & Miscellaneous Provisions Act, 1952.
b) Employees Gratuity Fund, which are formed under Payment of Gratuity Act, 1972.
c) Superannuation Fund which are formed under the guidelines issued by Income Tax Department.
d) Venture Capital Funds which are registered by SEBI.
e) ESOP Trust formed pursuant to the guidelines issued by SEBI).

Accounts of the above Funds/ Trusts/ Entities shall be opened in the name of above Funds/ Trusts/ Entities as they are recognized either under the Income Tax Act or Securities & Exchange Board of India Act, etc.

Documents to be furnished by the above Funds/ Trusts/ Entities and other Funds/ Trusts/ Entities, which are similarly placed, are:

• Certificate of Registration, if any, issued by the authority recognizing the Fund / Trust / Entity as such; • Trust Deed and Rules and/or any document or charter defining their constitution and providing for management thereof; • List of Members on the Board of Trustees/Governing Body; • Certified true copy of the Resolution passed by the Board of Trustees/Governing Body to open the demat account and specifying the persons authorized by the Board to act as Authorized signatory(ies) to operate the demat account; • Names of the authorized signatories, designation, and their specimen signatures duly verified by the Managing Trustee;

(M) **Banks**

- a) Certified true copy of Board Resolution, or b) Letter on the letterhead of the bank, signed by the Chairman/MD authorizing opening of account and authority given to authorized signatories to open and operate the demat account.

(N) **Mutual Funds**

SEBI Registration Certificate clearly indicating the name of the Mutual Fund.

(O) **Escrow Account**

• KYC form / KRA details of entity that is opening the account (RTA / Clearing Member / Manager to the Issue). • The photographs of the authorized signatory (ies) who would be operating the account. • PAN card of both parties i.e. Corporate entity & Escrow Agent. The PAN details of the Corporate entity would have to be captured in the CDSL system. • Copy of the Escrow Agreement duly signed by the parties.

Procedure for opening Escrow account.

• The escrow account shall be opened in the name and form of < Issuer name> - <Reason for opening the escrow account>-operated by-<Operator Name> for e.g. Infosys Technologies Ltd. – Buyback Account - Operated by – Karvy Consultants Ltd. • The photographs of authorized signatories who will be opening the account as well as who will be operating the account along with name, designation shall also be obtained. • The escrow account shall be active for the limited period of the activity for which it has been opened. Such period shall be as specified by SEBI / CDSL or any such regulating authority from time to time. After the specified period is over the account shall be closed by the DP irrespective of whether the closure instruction is received from the account holder or not.

(P) **Limited Liability Partnership Firm**

Demat Account for Limited Liability Partnership Firm [which is registered under the Limited Liability Partnership Act (2008)]

Such an account shall be opened as: <"Company Name" Limited Liability Partnership> or <"Company Name" LLP>. For example, if the company name is "ABC" then the demat account shall be opened in the name of <ABC Limited Liability Partnership> or <ABC LLP>.

The following documents shall be obtained :

- (i) Registration Certificate granted by the Registrar to the LLP under the LLP Act 2008. (ii) Declaration, on the letterhead of the LLP signed by all the designated partner/s clearly stating that the within named persons, who are designated partners of the LLP, have been nominated as authorized signatories to open and operate the said demat account on behalf of the LLP. (iii) The declaration shall specify the manner in which the account will be operated, that is: jointly or severally and shall give details of the names, addresses and DPIN [Designated Partner Identification Number allotted by the Registrar for each designated partner]/DIN [Directors Identification Number] along with their signatures and photographs. (iv) PAN Card details of the LLP are to be entered in the CDSL system. (v) The bank details in the name of the LLP, as sole / first holder in the bank account. (vi) PAN card of the authorized signatories to be kept on record. (vii) In case of change in registered office address of the LLP, the DP should take on record the notice of change of address filed by the LLP with the Registrar
• Joint holders in the demat account may be allowed. • Nomination in such demat accounts shall not be allowed. • Such demat accounts shall be opened under "Corporate" status in the CDSL system with the sub-status "Limited Liability Partnership".

Know Your Client (KYC)
Application Form (For Individuals Only)
Please fill in ENGLISH and in BLOCK LETTERS with black ink



Application No.:
DHWAJA SHARES & SECURITIES PVT. LTD.

A. Identity Details (please see guidelines overleaf)
1. Name o f Applicant (As appearing in supporting identification document).
Name
Father's/Spouse Name
2. Gender ☐ Male ☐ Female B. Marital Status ☐ Single ☐ Married C. Date of Birth d d / m m / y y y y
3. Nationality ☐ Indian ☐ Other
4. Status Please tick (✓) ☐ Resident Individual ☐ Non Resident ☐ Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)
5. PAN Please enclose a duly attested copy of your PAN Card
Unique Identification Number (UID)/Aadhaar, if any:
6. Proof of Identity submitted for PAN exempt cases Please tick (✓)
☐ UID (Aadhaar) ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others (Please see guideline 'D' overleaf)

PHOTOGRAPH

Please affix
the recent passport
size photograph and
sign across it

B. Address Details (please see guidelines overleaf)
1. Address for Correspondence
City / Town / Village
State
Country
Pin Code
2. Contact Details
Tel. (Off.) (ISD) (STD)
Mobile (ISD) (STD)
Email Id.
Tel. (Res.) (ISD) (STD)
Fax (ISD) (STD)
3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify)
*Not more than 3 Months old. Validity/Expiry date of proof of address submitted d d / m m / y y y y
4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant
City / Town / Village
State
Country
Pin Code
5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify)
*Not more than 3 Months old. Validity/Expiry date of proof of address submitted d d / m m / y y y y

C. Other Details (please see guidelines overleaf)
1. Gross Annual Income Details (Please tick (✓): ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ > 25 Lacs
OR
Net-worth in ₹. (*Net worth should not be older than 1 year) as on (date) d d / m m / y y y y
2. Occupation (Please tick (✓) any one and give brief details):
☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired
☐ Housewife ☐ Student ☐ Forex Dealer ☐ Others (Please specify)
3. Please tick, if applicable: ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person
For definition of PEP, please refer guideline overleaf
4. Any other information:

DECLARATION
I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
Place: Date:

SIGNATURE OF APPLICANT

FOR OFFICE USE ONLY
AMC/Intermediary name OR POS Code:
DHWAJA SHARES & SECURITIES PVT. LTD.
☐ (Originals Verified) Self Certified Document copies received
☐ (Attested) True copies of documents received Main Intermediary

For DHWAJA SHARES & SECURITIES PVT. LTD.
Director
Staff Name
Date

DHWAJA SHARES & SECURITIES PVT. LTD.
IPV Done ☐ on d d / m m / y y y y
Staff Name
Designation
Date

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

1. 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.

Please fill in ENGLISH and in BLOCK LETTERS with black ink

**DHWAJA SHARES & SECURITIES PVT. LTD.**

1. **Name of Applicant** (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

[illegible]

PHOTOGRAPH

Please affix
the recent passport
size photograph of Authorised
Signatory
and sign across it

2. **Date of Incorporation** | d | d | / | m | m | / | y | y | y | y |

[illegible][illegible]

Date of commencement of business | d | d | / | m | m | / | y | y | y | y |

4. **Status** Please tick (✓) ☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust / Charities / NGOs
☐ FI ☐ FII ☐ HUF ☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government Organisation
☐ Defence Establishment ☐ Body of Individuals ☐ Society ☐ LLP ☐ Others (Please specify)

5. Permanent Account Number (PAN) (MANDATORY)										Please enclose a duly attested copy of your PAN Card									
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1. Address for Correspondence

[illegible]

2. Contact Details

[illegible]

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
☐ Any other proof of address document (as listed overleaf). (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

4. Registered Address (if different from above)

City / Town / Village		Country		Postal Code	
State					

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises
☐ Any other proof of address document (as listed overleaf). (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted d d / m m / y y y y

1. Gross Annual Income Details (Please tick (✓): ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25 Lacs-1 Crore ☐ > 1 Crore

2. Net-worth in ₹. (*Net worth should not be older than 1 year) as on (date) | d | d | / | m | m | / | y | y | y | y |

3. Name, PAN, DIN/UID, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors

(Please use the Annexure to fill in the details)

4. Is the entity involved/providing any of the following services ☐ YES ☐ NO

- For Foreign Exchange / Money Changer Services ☐ YES ☐ NO – Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) ☐ YES ☐ NO
- Money Lending / Pawning ☐ YES ☐ NO

5. Any other information:

DECLARATION

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

**NAME & SIGNATURE(S)
OF AUTHORISED
PERSON(S)**

Place:

Date:

FOR OFFICE USE ONLY

AMC/Intermediary name OR POS Code:

DHWAJA SHARES & SECURITIES PVT. LTD.

☐ (Originals Verified) Self Certified Document copies received
☐ (Attested) True copies of documents received Main Intermediary

For DHWAJA SHARES & SECURITIES PVT. LTD.

Director
Staff Name
Date

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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



DHWAJA SHARES & SECURITIES PVT. LTD.

Registered Office: 603, Sanjar Enclave, Opp. Milap Cinema,
S. V. Road, Kandivali (West), Mumbai - 400 067.

SEBI REG. NO.: IN-DP-CDSL-688-2013 • DP ID: 12076800

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT

(To be filled by the Depository Participant)

Application No.											Date								
DP Internal Reference No.																			
DP ID	1	2	0	7	6	8	0	0	Client ID	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								
Second Holder's Name											PAN								
Third Holder's Name											PAN								

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			
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			

Do you wish to receive dividend / interest directly in to your 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																				
Branch 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.

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



NOMINATION DETAILS



DHWAJA SHARES & SECURITIES PVT. LTD.

I/We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

☐ I/We **do not wish to nominate any one for this demat account.**

☐ I/We **nominate** the following person who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of my / our death.

Nomination Registration No.	Dated

Nominee details

Full name of the Nominee (As per PAN Card)			
	First Name	Middle Name	Last Name
Address			
City		State	
Country		PIN	
Telephone No.		Fax No.	
E-mail ID			
Relationship with BO (if any)			
Date of Birth (Mandatory if nominee is a minor)			

As the nominee is a minor as on date, to receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders. I/We appoint following person to act as **Guardian**:

Full name of Guardian of Nominee: (As per PAN Card)			
	First Name	Middle Name	Last Name
Address			
City		State	
Country		PIN	
Telephone No.		Fax No.	
Email			
Relationship with BO (if any)			
Date of Birth (Mandatory if nominee is a minor)			

This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.

Note: Two witnesses shall attest signature(s) / Thumb impression(s).

Details of the Witness (Other than account holder, nominee and guardian)

	First Witness	Second Witness
Names of Witness		
Address of witness		
Signature of Witness		

I/We have read the terms & conditions DP-BO agreement 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 agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

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

(Signatures should be preferably in black ink).

For Dhwaja Shares & Securities Pvt. Ltd.

Director/Authorised Signatory



DHWAJA SHARES & SECURITIES PVT. LTD.

Registered Office: 603, Sanjar Enclave, Opp. Milap Cinema,
S. V. Road, Kandivali (West), Mumbai - 400 067.

SEBI REG. NO.: IN-DP-CDSL-688-2013 • DP ID: 12076800

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	7	6	8	0	0	Client ID	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														
Second Holder's Name											PAN							
Third Holder's Name											PAN							

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					
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					

Do you wish to receive dividend / interest directly in to your 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	
---	--	--	--	--	--	--	--	--	--	--	--	--	--


Clearing Member Details (To be filled by CMs only)

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




Do you wish to receive dividend / interest directly in to your 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																		
Branch Name																		
Bank Branch Address																		
City					State					Country					PIN			

(i) Photocopy of the 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.

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

"I/We have read the DP-BO agreement (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			

(In case of more authorised signatories, please add annexure)

(Signatures should be preferably in black ink).

AGREEMENT BETWEEN A PARTICIPANT AND A PERSON SEEKING TO OPEN A BENEFICIAL OWNER’S ACCOUNT

This Agreement made and entered into at Mumbai this day of _____, between **DHWAJA SHARES & SECURITIES PVT. LTD.** a body corporate registered under the Companies Act, 1956 having its Registered Office: 603, Sanjar Enclave, Opp. Milap Cinema, S. V. Road, Kandivali (West), Mumbai - 400 067, Gujarat hereinafter called “**the Participant**”of the One Part; AND, _____ & _____ (description of the legal entity) having his/her/its office/ registered office/ address at _____ hereinafter called “**the Beneficial Owner**” of the Other Part.

WHEREAS the Beneficial Owner is desirous of opening a beneficial owner’s account with the Participant and the Participant has agreed to open an account in the name of the Beneficial Owner and render services to the Beneficial Owner as a participant, on the terms and conditions recorded hereinbelow:

NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERETO AS FOLLOWS :

General Clause

- 1. The parties hereto agree to abide by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Bye Laws and Operating Instructions issued by CDSL from time to time in the same manner and to the same extent as if the same were set out herein and formed part of this Agreement.

Fees, Charges and deposits

- 2. The Participant shall be entitled to change or revise the fees, charges or deposits from time to time provided however that no increase therein shall be effected by the Participant unless the Participant shall have given at least one month’s notice in writing to the Beneficial Owner in that behalf. In case the Beneficial Owner committing a default in the payment of any such amount payable to the Participant on their respective due dates or within fifteen days of the same being demanded (where no such due date is specified), the Participant shall be entitled to charge interest on the amount remaining outstanding or unpaid not exceeding 18% per annum or part thereof. On such continued default, the Participant after giving two days notice to the Beneficial Owner shall have a right to stop processing of instructions of Beneficial Owners till such time he makes the payment along with interest if any.

Statement of Account

- 3.1 The Participant shall furnish to the Beneficial Owner a statement of his/its account at the end of every month if there has been even a single entry or transaction during that month, and in any event once at the end of each quarter. The statement of accounts to be provided to the Beneficial Owner under this Agreement shall be in the form specified in Operating Instructions or as communicated by CDSL from time to time. The Participant shall furnish such statements at such shorter periods as may be required by the Beneficial Owner on payment of such charges by the Beneficial Owner as may be specified by the Participant.
- 3.2 It is agreed that if a Participant is providing the services of issuing the statement of accounts in an electronic mode and if the Beneficial Owner is desirous of availing such services from the Participant, then the Participant will furnish to the Beneficial Owner the statement of accounts under its digital signature, as governed under the Information Technology Act, 2000. Provided however that in the event of the Beneficial Owner requiring a physical copy of the statement of accounts, despite receiving the same in the electronic mode, then irrespective of having forwarded the same via electronic mode, the Participant shall be obliged to provide a physical copy thereof to the BO.
- 3.3 It is agreed and understood between the parties that if the Participant does not have the facility of providing the statement of account in the electronic mode, then the Participant shall be obliged to forward the statement of account only in physical form.

Beneficial Owner shall intimate change of particulars

- 4. The Participant shall not be liable or responsible for any loss that may be caused to the Beneficial Owner by reason of his/its failure to intimate change in the particulars furnished to the Participant from time to time, unless notified by the Beneficial Owner.

Depository not liable for claims against Beneficial Owner

- 5. CDSL shall not be liable to the Beneficial Owner in any manner towards losses, liabilities and/or expenses arising from the claims of third parties or for any fees, charges, taxes, duties, levies or penalties levied, imposed or demanded by any Central, State, statutory or revenue authority in respect of securities credited to the Beneficial Owner’s account.

Authorised Representative

- 6. Where the Beneficial Owner is a body corporate or a legal entity, it shall, simultaneously with the execution of the Agreement furnish to the Participant, 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.

For Dhwaja Shares & Securities Pvt. Ltd.

First/Sole Holder Second Joint Holder Third Joint Holder Director/Authorised Signatory

Termination

7. The parties may at any time terminate this agreement, provided that a notice of not less than thirty days is given in the manner and on the terms and conditions and procedure set out in the Bye Laws and the Operating Instructions. In the event of termination by either party, the Participant shall deal with the securities lying in the account of a Beneficial Owner in accordance with the instructions of such Beneficial Owner.

Stamp Duty

8. Any stamp duty (including interest or penalty levied thereon) payable on the Agreement and/or on any deed, document or writing executed in pursuance hereof between the parties hereto shall be borne and paid by the Beneficial Owner.

Force Majeure

9. Notwithstanding anything contained herein or in the Bye Laws, neither party hereto shall be liable to indemnify or compensate the other for any breach, non-performance or delay in performance of any obligations under the Agreement or for any harm, loss, damage or injury caused to the other due to causes reasonably beyond its control including but not limited to tide, storm, cyclone, flood, lightning, earthquake, fire, blast, explosion or any other act of God, war, rebellion, revolution, insurrection, embargo or sanction, blockade, riot, civil commotion, labour action or unrest including strike, lock-out or boycott, interruption or failure of any utility service, enemy action, criminal conspiracy, act of terrorism or vandalism, sabotage, or intrusion, or any other irresistible force or compulsion.

Service of Notice

10. Any notice or communication required to be given under this agreement shall be in writing, and shall be legally effective only when it is delivered to the addressee at the last known address in the manner prescribed in the operating instructions.

Arbitration

11. The parties hereto shall, in respect of all disputes and differences that may arise between them, abide by the provisions relating to arbitration and conciliation specified under the Bye Laws.

Jurisdiction

12. The parties hereto agree to submit to the exclusive jurisdiction of the courts in Mumbai.

Governing Law

13. The Agreement shall be governed by and construed in accordance with the laws in force in India.

IN WITNESS WHEREOF the parties hereto have hereunto set and subscribed their respective hands/seals to this Agreement in duplicate on the day, month, year and place first hereinabove mentioned.

For Dhwaja Shares & Securities Pvt. Ltd.

Director/Authorised Signatory

SIGNED AND DELIVERED by the withinnamed the Participant)

DHWAJA SHARES & SECURITIES PVT. LTD.

by the hand of its authorised)

representative Shri)

in the presence of witness for DP)

Name :)

Signature :)

SIGNED AND DELIVERED } Name :) 1. 

by the withinnamed the } Name :) 2. 

Beneficial Owner } Name :) 3. 

in the presence of witness for BO)

Name :)

Signature :)

POWER OF ATTORNEY

TO ALL TO WHOM THESE PRESENTS SHALL COME I/We

(name of the beneficial owner(s), residing at / having its registered Office at

send greetings.

Whereas I/we hold a Beneficiary account no. 12076800 (BO-ID) with Central Depository Services (India) Limited through Depository Participant M/s Dhwaja Shares & Securities Pvt. Ltd. bearing DP-IDs 12076800 and am/are client/ investor/ trader engaged in buying, selling and dealing in securities through the said M/s Dhwaja Shares & Securities Pvt. Ltd. who are stock brokers/ trading members of the Stock Exchanges and are registered with the Securities and Exchange Board of India.

AND whereas I am desirous that the securities I/we may deal with be routed as far as possible through my/our aforesaid beneficiary account

AND whereas as a part of the risk management practices of M/s Dhwaja Shares & Securities Pvt. Ltd.

- 1. Securities purchased by me/ any one of us may not transferred to my/our aforesaid beneficiary account unless full purchased considerations paid by me/any one of us is received by M/s Dhwaja Shares & Securities Pvt. Ltd. and the instruments for payment are confirmed as honoured by the bankers of M/s Dhwaja Shares & Securities Pvt. Ltd.
- 2. Orders for securities placed by me/ any of us may not be accepted by M/s Dhwaja Shares & Securities Pvt. Ltd. if sufficient margins are not placed by me/us with M/s Dhwaja Shares & Securities Pvt. Ltd.
- 3. M/s Dhwaja Shares & Securities Pvt. Ltd. does not accept blank signed delivery instructions slips for my/our aforesaid beneficiary account

AND whereas I am/ we are therefore required to actively manage the aforesaid beneficiary account

And Whereas due to exigency and paucity of time and for other reasons and for operational and administrative convenience, I/we am/are hereby jointly/severally nominate, constitute and appoint an agent/attorney to operate the aforesaid beneficiary account on my/any of our behalf for the purposes in the manner hereinafter appearing

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I/WE THE ABOVENAMED DO HEREBY NOMINATE, CONSTITUTE/ AND APPOINT the said M/s Dhwaja Shares & Securities Pvt. Ltd. as my/our true and lawful attorney for me/ us and on my/any of our behalf and in my/our name to

- i. Transfer securities from the aforesaid beneficiary account towards stock exchange related margin / delivery obligations arising out of trades executed by the me/any one of us on any segment of any stock exchange through M/s Dhwaja Shares & Securities Pvt. Ltd.
- ii. Pledge the securities of the aforesaid beneficiary account in favour of M/s Dhwaja Shares & Securities Pvt. Ltd. for the limited purpose of meeting my/any of our margin requirements
- iii. Apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc. pursuant to my/any of our instructions (including verbal instructions) from the aforesaid beneficiary account

Our above authority to transfer/pledge is restricted to the following accounts of M/s Dhwaja Shares & Securities Pvt. Ltd. The update list of which is displayed on the website of M/s Dhwaja Shares & Securities Pvt. Ltd. www.dhwaja.com and latest extract of which is annexed to this Power of Attorney.

- 1. Pool/ principal accounts of M/s Dhwaja Shares & Securities Pvt. Ltd. with CDSL/ NSDL as intimated to the Stock Exchanges from time to time
- 2. Client margin/ Client beneficiary accounts of M/s Dhwaja Shares & Securities Pvt. Ltd. with CDSL/ NSDL
- 3. Accounts of the Stock Exchanges / Clearing House / Clearing Corporation of the Stock Exchanges

I / We further authorize M/s Dhwaja Shares & Securities Pvt. Ltd. to modify/update the list of accounts mentioned in the Annexure from time to time.

I / We further authorize M/s Dhwaja Shares & Securities Pvt. Ltd. to return the securities that may have been received by it erroneously and/or which M/s Dhwaja Shares & Securities Pvt. Ltd. was not entitled to receive.

I / We further authorize M/s Dhwaja Shares & Securities Pvt. Ltd. to send consolidated summary of scrip-wise buy and sell positions taken with average rates to me/ any one of us by way of SMS / email on a daily basis, notwithstanding any other document to be disseminated as specified by Securities and Exchange Board of India (SEBI) from time to time.

To transfer securities held in my/our aforementioned beneficial owner account(s) or any other account informed by me in writing to the stock broker from time to time to the demat accounts of the stock broker maintained for the purpose of

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settlement of trades and margin/delivery obligations arising out of trades executed by me/us on any recognized stock exchange through the stock broker. However, the said power will be restricted to only transfer of securities to the Clearing Member ID allotted to the stock broker by any existing or future exchange that the stock broker has joined/ will join as a member or to any demat accounts linked to the said Clearing Member ID; provided that I/we have executed a Client Member Agreement with the stock broker for such exchanges.

To pledge the securities in favor of the stock broker for the limited purpose of meeting my/our margin requirements in connection with the trades executed by me/us on any recognized stock exchange through the stock broker.

To return to me/us, the securities or funds that may have been received by the stock broker erroneously or those securities or funds that the stock broker was not entitled to receive from me/us;

To operate the specified aforementioned Beneficiary Account(s) and issue instructions relating to dematerializing or rematerializing shares and securities, freezing of accounts and to sign and execute delivery instruction slip to effect transfer of shares / securities from my / our beneficiary account, to execute receipt instructions, pledge instructions, pledge closure instructions and all such other instructions that may be required to facilitate the transactions undertaken by me/us pursuant to the Member Client Agreement.

To send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SMS/ email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc. pursuant to oral / written /electronic instructions given by me / us to the stock brokers.




To do all such other acts or deals which M/s Dhwaja Shares & Securities Pvt. Ltd. in its sole discretion considers necessary in this connection in order to complete the transaction.

This Power can be revoked by serving notice on M/s Dhwaja Shares & Securities Pvt. Ltd. by Registered Post AD at the registered office of M/s Dhwaja Shares & Securities Pvt. Ltd. at 603, Sanjar Enclave, Opp. Milap Cinema, S. V. Road, Kandivali (West), Mumbai - 400067.

ANNEXURE - Extract of the list of pool/ principal/ client margin/ client beneficiary accounts of M/s Dhwaja Shares & Securities Pvt. Ltd. as displayed on the on website www.dhwaja.com

DEMAT ACCOUNTS DETAILS:

Sr. No.	Exchange	Principal / Pool Account No.	CDSL	Early Pay-in
		CDSL / NDSL	BENE A/c.	
1.	Bombay Stock Exchange Limited (BSE)			
2.	National Stock Exchange of India Limited (NSE)			

(Signed, sealed and delivered By the within named beneficial Owner/s)	For HUF (Name of Co-parceners)	Signature of Co-parceners
BO1 	1. _____	1. _____
BO2 	2. _____	2. _____
BO3 	3. _____	3. _____
Place: _____	4. _____	4. _____
Date: ____/____/____		
In the presence of (Name & Address of Witness)	We accept For M/s DHWAJA SHARES & SECURITIES PVT. LTD. Director/Authorised Signatory	

Regd. Off.: 603, Sanjar Enclave, Opp. Milap Cinema, S. V. Road, Kandivali (West), Mumbai - 400067.

Place : MUMBAI.

Date : _____

HUF DECLARATION

Date: _____

DHWAJA SHARES & SECURITIES PVT. LTD.
603, Sanjar Enclave, Opp. Milap Cinema,
S. V. Road, Kandivali (West), Mumbai - 400 067.

Dear Sir,

I hereby request you to open our Demat 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, as on date of Application.

SR. NO.	NAME OF FAMILY MEMBERS	SEX	RELATIONS	DATE OF BIRTH	SIGN

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 truly,



Karta
(Affix stamp of HUF)



DHWAJA SHARES & SECURITIES PVT. LTD.

Registered Office: 603, Sanjar Enclave, Opp. Milap Cinema,
S. V. Road, Kandivali (West), Mumbai - 400 067.

SEBI REG. NO.: IN-DP-CDSL-688-2013 • DP ID: 12076800

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 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

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

Receiving Alerts:

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

Fees:

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

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not 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	7	6	8	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)

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: _____

* TARIFF CARD *

S.No.	Particulars	Tariff
1.	Account Opening Charges	NIL
2.	Kit Charges	Rs. 30/-
3.	Stamp Charges	Rs. 220/-
4.	Account Maintenance Charges / Year (Individual)	Rs. 300/-
5.	Account Maintenance Charges / Year (NI)	Rs. 900/-
6.	Purchase (Market & Off-Market)	NIL
7.	Sale (Market & Off-Market)	(Rs.20-per ISIN)
8.	Custody Charge	NIL
9.	Dematirialisation	3/-per certificate with Min.Rs.25/-
10.	Postage per Demat Request	Rs. 25/- PER REQUEST
11.	Rematirialisation	Rs. 10/- PER REQUEST PER LOT
12.	Postage Per Remat Request	Rs. 20/- PER REQUEST
13.	Creation / Confirmation of Pledge	0.02% (minimum Rs.25/- per ISIN)
14.	Closure / Confirmation of Pledge	0.02% (minimum Rs.25/- per ISIN)
15.	Invocation of Pledge	0.02% (minimum Rs.25/- per ISIN)
16.	Late Transaction Charges (Per Transaction)	Rs. 10/-
17.	Failed Instruction Charges	Rs.25/-
18.	Other than POA Pay in/Pay out the off market. Inter depository & on market charges	Rs. 50/- per ISIN instead of Rs. 16/-

Client Name: _____

Signature:  _____

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

Application No.:

ACKNOWLEDGEMENT RECEIPT

Date:

We hereby acknowledge the receipt of the Account Opening Application Form:

Name of the Sole / First Holder	
Name of Second Holder	
Name of Third Holder	

For Dhwaja Shares & Securities Pvt. Ltd.

(Authorised Signatory)



CDSL
Your Depository

Sr. No. _____



Dhwaja SHARES & SECURITIES PVT. LTD.

SEBI REG. NO.: IN-DP-CDSL-688-2013 • DP ID: 12076800

Registered Office: 603, Sanjar Enclave, Opp. Milap Cinema,
S. V. Road, Kandivali (West), Mumbai - 400 067.

ACCOUNT OPENING FORM

Account No. : 12076800 - 000

Name (1) : _____

Name (2) : _____

Name (3) : _____

DP Internal Ref. No. : _____

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