

CHECK LIST

CKYC DOCUMENT:

1. Affixed Photo & Signature across. Sign at place of signature of applicant.
2. Identity Details: i) Check Name, Date of Birth, Father's/ Spouse Name, PAN No. with PAN Card.
ii) Check gender, marital status, Nationality, status, Specify the proof of Identity submitted.
3. Address Details: i) Check Address for correspondence with Voter ID/Passport/not more than 3 month old Bank Passbook Statement.
ii) Check Mobile No., Email Id and verify.

KYC DOCUMENT:

4. Affixed Photo & Signature across. Sign at place of signature of applicant.
5. Identity Details: i) Check Name, Date of Birth, Father's/ Spouse Name, PAN No. with PAN Card.
ii) Check gender, marital status, Nationality, status, Specify the proof of Identity submitted.
6. Address Details: i) Check Address for correspondence with Voter ID/Passport/not more than 3 month old Bank Passbook Statement.
ii) Check Mobile No., Email Id and verify.

CLIENT REGISTRATION KIT :

1. Identity Details: i) Check Name, Date of Birth, Father's/ Spouse Name, PAN No. with PAN Card.
ii) Check gender, marital status, Nationality, status, Specify the proof of Identity submitted.
2. Address Details: i) Check Address for correspondence with Voter ID/Passport/ Bank Passbook /Statement not more than 3 month old.
ii) Check Mobile No., Email Id and verify.
3. Other Details: i) Check tick in Gross Annual Income Details, Occupation, and Any other information.
4. Check Details of Promoters/ Partners/ Karta / trustees and Whole time Directors Forming a Part of KYC.(if client type HUF/CORPORATE).
5. Bank A/c Details: i) Check Bank Name, Branch, Bank A/c No., A/c Type, MICR no., IFSC Code with Bank Proof.
6. DP Details : i) Check DP Name, DP (NSDL/ CDSL) Beneficiary Name, DP ID,BO ID with DP Master list / Holding Statement.
7. Check Additional Details. 8. Check Introducer Details
9. Check Nomination Details for Individuals only. If client do nominate than witnesses are require.
10. Affixed photo & signature across on page 4.
11. Non-Mandatory: i) Check Name of the Client, Address, Signature in Authority to Deliver Contract Notes.
ii) Check Tick in both Email Facility & SMS Facility and Email ID & Mobile Number in Email and Mobile Alert Facility.
iii) Check Email ID in Electronic Contract Notes (ECN).
13. PMLA: i) Check Name of the Client.
ii) Check Name, Relationship, UCC (client code) in Details of my/our Relatives, having account with Bhartia Brothers.
iii) Check Tick in Risk profile.
14. Check Signature and Date in every page. 15. Check Self-Attested Document Copies.
16. No column should be left blank.

Document Required:

1. Xerox copy of PAN Card as proof of identity. **(FOUR (4) COPIES)**
2. Xerox copy of Aadhaar as proof of address. **(FOUR (4) COPIES)**
3. Cheque of Rs.354/- favour of **bhartia Stock Broking Pvt. Ltd.**
4. Power of Attorney.
5. Cancelled Cheque. **(TWO (2) COPIES)**
6. Cheque of rupees 236/- favour of **BHARTIA BROTHERS** .
7. 3 copy photo required & affix the photo & sign across.
8. 3 months Bank Statement /ITR/ Balance Sheet
9. Please sign on " ✓ " mark.

NOTE:- if client have KYC . KYC document required. Document should be self-Attested.



CDSL



BHARTIA STOCK BROKING PVT. LTD.

DEMAT ACCOUNT OPENING FORM

CDSL : DP ID - 12039600 | SEBI REGN. NO. : IN-DP-CDSL-285-2005

REGISTERED OFFICE

SHAKTI TOWER, EN-60, 2ND FLOOR

SALT LAKE CITY, SECTOR-V

KOLKATA-700091

TEL. : + 91 33 4066 1066

EMAIL : dp@bhartia.in

Compliance Officer Email : nka@bhartia.in

Investor Grievance Email : grievance@bhartia.in

NAME

TRADING CLIENT CODE

BRANCH CODE

ACCOUNT OPENING DATE

FORM CHECKED BY

Name : _____ Signature : _____ Date : _____

AUTHORISED & APPROVED BY

Name : _____ Signature : _____ Date : _____

BACK OFFICE CODE FED BY

Name : _____ Signature : _____ Date : _____

BACK OFFICE CODE CHECKED BY

Name : _____ Signature : _____ Date : _____

For Individuals 5

Annexure 2.1

Additional KYC Form for Opening a Demat Account

BHARTIA STOCK BROKING PVT. LTD.PHOTO
SIGN ACROSS**Regd. Office** :: SHAKTI TOWER, EN-60, 2ND FLOOR, SALT LAKE CITY, SECTOR-V KOLKATA-700091

(To be filled by the Depository Participant)

Application No.											Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																			
DP ID	1	2	0	3	9	6	0	0	Client ID										

(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 following details:-

Holders Details

Sole / First Holder's Name	PAN																		
	UID																		
Second Holder's Name	PAN																		
	UID																		
Third Holder's Name	PAN																		
	UID																		

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's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTRA) <input type="checkbox"/>	<input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others(specify) _____ <input type="checkbox"/>
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify) _____ <input type="checkbox"/>
<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 (If not marked, the default option would be 'Yes')			[Automatic Credit]	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any other further instruction from my/our end (If not marked, the default option would be 'No')				<input type="checkbox"/> Yes <input type="checkbox"/> No
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 (Tick the applicable box. If not marked the default option would be in Physical)	<input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic			

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
---	--

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 code		

- (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
 - (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.

Other Details Gross Annual Income Details	Income Range per annum:									
	<input type="checkbox"/> Up to Rs.1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs 5,00,000 <input type="checkbox"/> Rs 5,00,000 to ` 10,00,000 <input type="checkbox"/> Rs 10,00,000 to Rs 25,00,000 <input type="checkbox"/> More than Rs 25,00,000									
	Net worth as on (Date)	<table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table> Rs	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y			
[Net worth should not be older than 1 year]										
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____									
Please tick , if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)									
Any other information:										

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	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).										
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure – 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I _____ have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST										
	<table border="1"> <thead> <tr> <th>StockExchange Name/ID</th> <th>ClearingMember Name</th> <th>ClearingMemberID(Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	StockExchange Name/ID	ClearingMember Name	ClearingMemberID(Optional)							
StockExchange Name/ID	ClearingMember Name	ClearingMemberID(Optional)									
Easi	To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.										

I / We hereby confirm the Photograph, Signature & Address of the applications in this form :

Name :

Branch :

Sign :

Client ID : _____ (If attested by an existing client of Bhartia Stock Broking Pvt. Ltd.)

Signed and approved by

Witness :

Signature : _____

(For and on behalf of the
Bhartia Stock Broking Pvt. Ltd.)

Name : _____

Address : _____

IN PERSON VERIFICATION :

Name : _____

Designation : _____

Date : _____

SIGNATURE :

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date												
------	--	--	--	--	--	--	--	--	--	--	--	--

DP ID													Client ID							
First Holder Name																				
Second Holder Name																				
Third Holder Name																				

To

BHARTIA STOCK BROKING PVT. LTD.
SHAKTI TOWER, EN-60, 2ND FLOOR
SALT LAKE CITY, SECTOR-V
KOLKATA-700091

Dear Sir / Madam,

I / We hereby state that: [Select one of the options given below]

OPTION 1:

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / 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 Clearing Member / by PMS manager.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

OR**OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / 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 Clearing Member / by PMS manager. 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
Name			
Signatures			

=====
 ===== (Please Tear Here) =====
 =====**Acknowledgement Receipt**

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

DP ID													Client ID							
Name of the Sole / First Holder																				
Name of Second joint Holder																				
Name of Third joint Holder																				

Depository Participant Seal and Signature

Nomination Form

To,
Bhartia Stock Broking Pvt. Ltd.
 SHAKTI TOWER, EN-60, 2ND FLOOR, SALT LAKE CITY, SECTOR-V KOLKATA-700091

Dear Sir/ Madam,

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.**
 [Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form].
- I/We **nominate** the following person/s who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

BO Account Details												
DP ID	1	2	0	3	9	6	0	0	Client ID			
Name of the Sole / First Holder												
Name of Second Holder												
Name of Third Holder												

Photo of Nominee	Nominee 1 Sign across the photo	Nominee 2 Sign across the photo	Nominee 3 Sign across the photo
Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name :			
*First Name:			
Middle Name:			
*Last Name			
Father/Spouse Name			
*Address:			
*City:			
*State:			
*Pin:			
*Country:			
Telephone No.:			
Fax No:			
Nomination Details	Nominee 1	Nominee 2	Nominee 3
PAN No:			
UID :			
Email ID:			
*Relationship with the BO			
Date of birth(mandatory if Nominee is a minor):			
Name of the Guardian of Nominee (if the nominee is minor):			
*First Name:			
Middle Name:			
*Last Name			
Father/Spouse Name			
*Address of the Guardian of nominee:			

*City:			
*State:			
*Pin:			
*Country:			
Age:			
Telephone No.:			
Fax No:			
Email ID:			
*Relationship of the Guardian with the Nominee:			
*Percentage of allocation of securities:			
*Residual Securities[please tick any one nominee.If tick not marked default will be first nominee]:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Note : Residual securities: incase of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

*** Marked is Mandatory field**

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

Place: _____ Date: _____

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

Note: One witness shall attest signature/ Thumb impression.

Details of the Witness

	First Witness
Names of Witness	
Address of Witness	
Signature of Witness	

(To be filled by DP)

Nomination Form accepted and registered wide Registration No. _____ dated _____.

For Depository Participant
(Authorised Signatory)

=====-(Please Tear Here)=====

Acknowledgement Receipt

Received nomination from :

DP ID	1	2	0	3	9	6	0	0	Client ID:								
Name																	
Address																	
Nomination in favor of																	
First- Nominee																	
Second - Nominee																	
Third- Nominee																	
No Nomination	<input type="checkbox"/> Does not wish to nominate																
Registration No.								Registered on	D	D	M	M	Y	Y	Y	Y	

Depository Participant Seal and Signature

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 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.
12. 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

13. 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.
14. 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.
15. 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.
16. 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

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

19. 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.
20. 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

21. 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.
 2. 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

22. 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.
23. 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

24. 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

25. 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

26. 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.

27. 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.
28. 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.
29. 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
30. 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.
31. 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.

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

[SMS Alerts will be sent by CDSL to BOs for all debits]

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 without 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

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

(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: _____

TERMS AND CONDITIONS FOR AVAILING TRANSACTION USING SECURED TEXTING (TRUST) - SERVICE OFFERED BY CDSL

1. Definitions:

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

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
 - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
 5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
 6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
 7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
 8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
 9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP .
 10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.

11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. Indemnity:
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. Disclaimer:
Depository shall be absolved of any liability in case:-
 - a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
 - b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
 - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility. .

**CONSENT LETTER FOR RECEIVING TRANSACTIONS STATEMENT
ON E-MAIL & ALLOWING DEBIT OF DP CHARGES IN TRADING
ACCOUNT**

Dear Sir / Madam,

I / We are a client with BHARTIA STOCK BROKING PVT. LTD. (hereinafter referred to as BSBPL) and my/our Demat Account No. is

With reference to SEBI circular No. MRD/Dop/SE/Cir-20/2005 dated September 08, 2005, and pursuant to the amendment in Annexure C to the Bye Laws of CDSL, I/ we are desirous to avail the facility of receiving Bill, Transaction Statement, Holding & Financial Statement on e-mail.

I/We would request you that henceforth i.e. from onwards you are requested to send my/our Bill, Transaction Statement, Holding & Financial Statement through email on my/our

E-mail ID :

I/We shall ensure that this email ID is kept valid and any change in my/our above email ID shall be communicated to you in writing.

I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s)/email id(s).

I/We agree that the log reports of your dispatching software shall be conclusive proof of dispatch of all statements or bills to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt/delayed receipt for any reason whatsoever.

BSBPL will charge me Rs. 25/- plus taxes for physical delivery of Bill, Transaction Statement, Holding & Financial Statement through courier in case the mail sent to me bounces back.

I am also aware that copies of the Bill, Transaction Statement, Holding & Financial Statement are also available in BSBPL website for which I will be provided with an USER ID and Password .

In case I wish to withdraw this facility I shall inform BSBPL in writing at least one week in advance from the date of withdrawal.

Thanking you,

Yours faithfully,



SOLE / FIRST HOLDER SIGNATURE



SECOND HOLDER SIGNATURE



THIRD HOLDER SIGNATURE

Client Name :

Demat A/c. No. :

Date :

CONSENT LETTER FOR EMAIL & MOBILE NO.

Dear Sir / Madam,

This is with reference to my/our demat account opened with you; I/ We request you to arrange facility of receiving email and/or mobile alert facility by yourself and depository in compliance with regulation and guidelines issued by concern authorities from time to time.

Please Note that following Email ID / Mobile No. is belongs to me / my family member and started relationship and PAN No. of my Family Member.

E-mail Facility	Service Required [] Yes [] No
Email ID	
Owned by - Name	
Pan Number *	
Relationship with Client	
Signature of the Client	
SMS Facility	Service Required [] Yes [] No
Mobile Number	
Owned by - Name	
Pan Number *	
Relationship with Client	
Signature of the Client	

* Please Specify the Name and PAN detail in case email id and/or Mobile number is other that that of the client.

In this regards we state the following :

1. This is to further confirm that it will be my/our responsibility that my/our Email ID and/or Mobile Number are active and the relevant inbox is not full. Further, the DP will not be held liable for the mails and/or SMS alert not received.
2. I/we undertake that any change in my/our Email id and or Mobile No. shall be communicated to you in writing through a physical letter.
3. I/we agree that this authority shall be valid, until it is revoked by me/us at any time by giving a written notice to BSPL.



SOLE / FIRST HOLDER SIGNATURE



SECOND HOLDER SIGNATURE



THIRD HOLDER SIGNATURE

Client Name :

Demat A/c. No. :

Date :

BHARTIA STOCK BROKING PVT. LTD.
SHAKTI TOWER, EN-60, 2ND FLOOR, SALT LAKE CITY, SECTOR-V KOLKATA-700091

SCHEDULE OF CHARGES

SL. NO.	TYPE	RATES			
1.	ACCOUNT OPENING	NIL			
2.	ACCOUNT MAINTENANCE CHARGES	Rs. 300/- for Individual & Rs. 1000/- for Corporates			
3.	Transaction Charges - Market & Off-Market	Rs. 12/- per ISIN & Rs. 25/- or 0.01% which ever is higher			
4.	Transaction Charges				
	BUY	NIL			
	SELL	<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none;">CLIENTS WITH POA</td> <td style="width: 50%; border: none;">OTHERS</td> </tr> <tr> <td style="border: none;">0.015 % subject to min Rs. 10/- & max Rs. 500/-</td> <td style="border: none;">0.02 % subject to min Rs. 15/- & max Rs. 500/-</td> </tr> </table>	CLIENTS WITH POA	OTHERS	0.015 % subject to min Rs. 10/- & max Rs. 500/-
CLIENTS WITH POA	OTHERS				
0.015 % subject to min Rs. 10/- & max Rs. 500/-	0.02 % subject to min Rs. 15/- & max Rs. 500/-				
5.	Demat Charges	Rs. 15/- per certificate + Rs. 50 Courier Charges Rs. 50/- Failure Charges			
6.	Remat Charges	Rs. 15/- per certificate + Rs. 50 Courier Charges Rs. 50/- Failure Charges			
7.	Destat / Restat Charges	A Flat of Rs. 50/- per transaction of conversation of MF Unit into Demat / into SOA and redemption of MF Unit.			
8.	Pledge / Hypothecation Charges	Pledge Acceptance Charge 0.015% of the value of Security Subject to minimum of Rs. 40 per ISIN			

Service tax & other levies as per the statutory authorities

NOTES

1. Only 1st year's annual account maintenance charges are collected at the time of account opening. All other charges are billed on a monthly basis if you have any transactions during the month.
2. In case of delays in the payment of charges, the demat account can be frozen for all operations till such time all dues are cleared.
3. "All market instructions for transfer must be received latest by 4 pm on the previous working day prior to the pay in day as per SEBI guidelines. All Off Market instructions for transfer must be received at least 24 hours before the execution date. Late instructions would be accepted at the Account Holder's sole risk and responsibility.
4. Charges are subject to the revision at the company's sole discretion and as per revision in CDSL Charges.
5. Value of transactions will be in accordance with rates provided by the depository.
6. Service tax and other statutory charges, if applicable will also be levied.
7. Rs. 100 will be charged to client in case of new delivery instruction booklet is requested without requisition slip.
8. Charges for POA stamping will be charged extra.

I/We have read and understood the "Schedule of Charges" prescribed above and agree to abide by the same.

Signature of the A/c Holders



SOLE / FIRST HOLDER SIGNATURE



SECOND HOLDER SIGNATURE



THIRD HOLDER SIGNATURE

Client Name :

Demat A/c. No. :

Date :

Date: _____

To,
BHARTIA STOCK BROKING PVT. LTD.
SHAKTI TOWER, EN-60, 2ND FLOOR
SALT LAKE CITY, SECTOR-V
KOLKATA-700091

Re: Beneficial Owner (BO) Account No. _____

I/We _____

[Name of the BO(s)] had entered into agreement dated _____ with you at the time of opening of the aforesaid BO account.

Pursuant to the amendment in Clause 3 of the agreement (Annexure C to the Bye Laws of CDSL), I/We confirm having opted to receive the statement of accounts pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.

I/We confirm that the dispatch of statement of account to me/us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me/us with statement of my/our BO account. But, I/we reserve my/our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode, if such a demand is made in writing on you.

[Email address: _____]

I/We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch/ service of my/our statement of account on me/us shall not be binding upon you unless you are intimated in writing by me/us by acknowledged delivery.



 SOLE / FIRST HOLDER SIGNATURE



 SECOND HOLDER SIGNATURE



 THIRD HOLDER SIGNATURE

Client Name :

Demat A/c. No. :

Date :

CONFIRMATION UNDER THE FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) & CRS FOR DETERMINING US PERSON / ANY OTHER COUNTRY PERSON STATUS [Mandatory for all investors including Unit holder(Guardian in case of minor) and Joint holder(s)]

To,
Bhartia Stock Broking Pvt Ltd
Shakti Tower,EN-60,2nd Floor
Salt Lake City,Sector-V
Kolkata-700091

APPLICANT'S INFORMATION

Trading A/c No.	<input type="text"/>
Demat A/c No.	<input type="text" value="1 2 0 3 9 6 0 0"/>
PAN	<input type="text"/>
Name	<input type="text"/>

FATCA DECLARATION FOR INDIVIDUAL CLIENTS

Please provide a response common to all holders in the folio(s). For eg : If the answer to any one of the question for any one of the holder is "Yes", please tick on "Yes" against the question

FOR INDIVIDUAL INVESTORS (INDIVIDUAL / NRI / HUF / ON BEHALF OF MINOR / PROPRIETORSHIP FIRM)		
FATCA Compliance Confirmation Indicia	"Yes" or "No" please(✓)	
Are you a resident or Citizen of the United States or any other country out of India?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Is your place of birth US or any other country out of India ?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you have a telephone number in the capacity of a resident / citizen of US or any other country out of India?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you hold any residence / mailing address / 'C/o address' / hold mail address / PO Box address in the US or any other country out of India?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Is your POA holder based out of US or any other country out of India or hold US or any other country out of India residence / citizenship?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you pay tax in the US or any other country out of India?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you hold an Identification Number or any identification that indicates US or any other country out of India residence / citizenship?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

In case of individual client who is a resident or Citizen of the United States or any other country out of India:

Spouse Name : _____

Nationality : _____ Place of Birth : _____

If "No" Please proceed of the signature of declaration

If "Yes" , please fill for ALL countries (other than India) in which you are a resident for Tax purposes i.e..where you are a Citizen /Resident/Green Card Holder/ Tax Resident in the respective countries

Sr. No	Country of Tax Residency	Tax Identification Number or Functional Equivalent	Identification Type (TIN or other, please specify)	If Tin is not available, please tick the reason A,B,or C(as defined below)
				Reason <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C*
				Reason <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C*

*Please specify reason _____

Reason A: The country where the Account Holder is liable to pay tax does not issue Tax Identification Number to its residents.

Reason B: No. Tin required.(Select this reason Noly if the authorities of the respective country of tax residence do not require the Tin to be collected)

Reason C: Others; Please state the reason threof.

DECLARATION & SIGNATURE(S) (To be signed as per mode of holding)

Client agrees to provide the trading member and/or depository participant with any documentation or information requested relating to individual or entity tax status. To the extent required by the trading member and/or depository participant, client hereby consents to the disclosure and reporting of any tax related information obtained or held by the trading member and/or depository participant to any local or foreign regulatory or tax authority ("Tax Authority"). Upon request by the trading member and/or depository participant, client hereby agrees to obtain a written waiver or consent from the entity's "substantial owners" or "controlling persons" and to provide those consents to the trading member and/or depository participant to permit it to disclose and report tax and account specific financial information to any local or foreign Tax authority. The terms "substantial owners" and "controlling persons" shall have the meaning as defined under local or foreign tax laws, regulatory guidance or inter governmental cooperation agreements. The potential consequences for failure to comply with requests for tax information, failure to respond to requests for waivers or consents for tax information disclosure, and/or failure to respond to requests to obtain waivers or consents from substantial owners or controlling persons, include, but are not limited to: (a) trading member and/or depository participant has the right to carry out actions which are necessary to comply with the local or foreign tax reporting obligations; (b) trading member and/or depository participant has the ability to withhold taxes that may be due from certain payments made to the client's account; (c) trading member and/or depository participant has the right to pay relevant taxes to the appropriate tax authority; (d) trading member and/or depository participant has the right to refuse to provide certain services; and (e) trading member and/or depository participant has the discretion to close client accounts. The client agrees to inform, or respond to any request from, the trading member and/or depository participant, if there are any changes to tax information previously provided.

Authorised Signatory 1 / 1st Applicant	Authorised Signatory 2 /2nd Applicant	Authorised Signatory 3 / 3rd Applicant
---	--	---

Date:

Place: