Form No:

Date of A/c Opening :______________________

Branch/AP Code :__________ Group Code :__________

KRA Status :__________ Aadhar-PAN Link Status :__________

Modification No.______________ Date__________

Remark______________________________

Please download our trading app from App store: "Nikunj Trading"

CLIENT REGISTRATION BOOKLET

For Individuals & Non-Individuals

For NSE (CM, FO, CD)
For BSE (CM, FO, CD)
For MCX (Commodity Derivatives)
For NSDL & CDSL (Demat)

Unique Client Code (UCC): __ __ __ __ __ __ __ __

Demat - NSDL DP ID : IN302994 BO Id : __ __ __ __ __ __ __ __

Demat - CDSL DP ID : 12100300 BO Id : __ __ __ __ __ __ __ __

Name : ______________________

PAN : ______________________

Mobile : ______________________

Email : ______________________

ver.Apr-26

NIKUNJ STOCK BROKERS LTD.
www.nikunjonline.com

DOCUMENTS REQUIRED - CHECKLIST

FOR INDIVIDUAL

DOCUMENTS OF INDIVIDUAL

☐ PoI ☐ PoA ☐ Bank & MICR/IFSC Proof ☐ Income Proof ☐ Proof of Demat A/c
(Provide any one proof of each, as per table below)
☐ Photograph pasted on page 3 & signed across

DOCUMENTS OF NOMINEE (required, if nomination facility is choosen)

☐ Photograph pasted on page 10

FOR HUF

DOCUMENTS OF HUF

☐ PoI ☐ PoA ☐ Bank & MICR/IFSC Proof ☐ Income Proof ☐ Proof of Demat A/c
(Provide any one proof of each, as per table below)

DOCUMENTS OF COPARCENERS

☐ PoI ☐ PoA ☐ Bank & MICR/IFSC Proof ☐ Income Proof ☐ Proof of Demat A/c
(Provide any one proof of each, as per table below)

DOCUMENTS OF KARTA (Individual member in whose name HUF is formed)

☐ Photograph pasted on page 6
☐ PoI ☐ PoA (Provide any one proof of each, as per table below)

SIGNATURES OF ALL COPARCENERS (family members other than Karta)

☐ Signatures on page 6 / Deed of declaration of HUF (any one)

FOR CORPORATE

DOCUMENTS OF CORPORATE

☐ PoI ☐ PoA ☐ Bank & MICR/IFSC Proof ☐ Income Proof ☐ Proof of Demat A/c
(Provide any one proof of each, as per table below)
☐ Board Resolution for investment in securities market with name of authorised signatory(ies) and mode of operations (jointly or severally) (on company letterhead)
☐ List of authorised signatories with specimen signature (on company letterhead)
☐ FATCA cum UBO Declaration
☐ Articles & Memorandum of Association (Along with Certificate of Incorporation)
☐ Latest shareholding 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 / WTD / MD (to be submitted every year)
- In case corporate shareholder holding more than 10% shares, shareholding pattern of that corporate is also required

☐ Balance Sheets for last 2 financial years (to be submitted every year)

DOCUMENTS OF ALL WHOLE TIME DIRECTORS (WTD) / TWO DIRECTORS IN CHARGE OF DAY TO DAY OPERATION

☐ Photograph pasted on page 6
☐ PoI ☐ PoA (Provide any one proof of each, as per table below)

DOCUMENTS / SIGN OF ALL AUTHORISED SIGNATORY(IES)

☐ Photographs on page 6 / on letterhead of company
☐ Signatures on page 6 / on letterhead of company

DOCUMENTS OF ALL INDIVIDUAL PROMOTERS HOLDING CONTROL EITHER DIRECTLY OR INDIRECTLY

☐ Photograph pasted on page 6
☐ PoI ☐ PoA (Provide any one proof of each, as per table below)

FOR PARTNERSHIP FIRM

DOCUMENTS OF PARTNERSHIP FIRM

☐ PoI ☐ PoA ☐ Bank & MICR/IFSC Proof ☐ Income Proof ☐ Proof of Demat A/c
(Provide any one proof of each, as per table below)
☐ Certificate of Registration (in case of registered Partnership Firms Only)
☐ Partnership Deed ☐ Undertaking from all partners
☐ Authority letter (• download format from www.nikunjonline.com/download.aspx)
☐ Balance Sheet for last 2 financial years (to be submitted every year)

DOCUMENTS OF ALL PARTNERS

☐ KYC of all partners (Download from www.nikunjonline.com/download.aspx)
- Demat A/c will be opened in the name of partners

☐ Photograph pasted on page 6
☐ PoI ☐ PoA (Provide any one proof of each, as per table below)

DOCUMENTS & SIGN OF ALL AUTHORISED SIGNATORY(IES)

☐ Photographs on page 6

SOLE PROPRIETOR

☐ Sole Proprieter must make the application in his INDIVIDUAL name & capacity only
- If you are submitting bank details of Proprietorship firm as bank / income proof, please provide letter from bank certifying name of individual proprietor

Please ensure

1. Proof of Identity (PoI)	• If Name/Photo/Signature on PAN Card is not clear, then submit additional PoI • Copy of PAN Card is mandatory for all applicants (except for applicants residing in state of Sikkim)
2. Proof of Address (PoA)	• If correspondence & permanent addresses are different, then proofs for both sould be submitted • Address in proof should match with address in KYC form • In case of Individual - PoA in name of spouse may be accepted. In such case proof to establish relationship such as ration card, Passport, Marriage Certificate should be provided • Office/Business/Shop Address if not acceptable as permanent address in case of individual
3. Bank + MICR/IFS Code Proof	• Proof should contain IFS Code (11 digits) / MICR Code (9 digits) of Bank • If name is not pre-printed on cheque - then submit additional proof containg the Bank A/c number and Name of Client
4. Income Proof	• Mandatory if you wish to trade in Derivatives (F&O/Currency/Commodity) segments
5. Demat A/c Proof	• Not required if you are opening new Demat a/c (fill form on page 9)

* Documents should not be more than 3 months old
** Documents having expiry date should be valid on the date of submission

INDEX

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES/DP

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

Note : Annexure A, B, C, D, E & F as specified above are supplied to the constituent in electronic form or physical form as per the preference of the constituent.

Name of stock broker/trading member/clearing member:	**NIKUNJ STOCK BROKERS LTD.**
Corporate Identification No. (CIN) :	**U74899DL1994PLC060413**
SEBI Registration No. :	**INZ000169335 • Depository Participant : IN-DP-89-2015**
Membership Code :	**BSE : 6645, NSE : 06913, MCX : 16505**
Registered and Correspondence office address:	**A-92, GF, Left Portion, Kamla Nagar, Delhi-110007** **Ph: 011-47030000-01, E-mail : info@nikunjonline.com**

Compliance officer name, phone no. & email id: **Ms. Monika, 011-47030017-18, (M) 8700240043, complianceofficer@nikunjonline.com**

CEO name, phone no. & email id : **Mr. Pramod Kumar Sultania, 011-47030015, pramodsultania@nikunjonline.com**

Clearing Member Details : We are self-clearing member in F&O Segment

Clearing Member Details for Commodity Derivatives & CDS Segment : Globe Derivatives & Securities Ltd., SEBI Registration No INZ000312637

DISCLOSURE OF PROPRIETARY TRADING

In pursuance of SEBI Circular No. SEBI/MRD/Cir-42/2003 dated November 19, 2003, we wish to inform you that we do proprietary business also in addition to clients business. Kindly take note of the above and oblige.

In case of any grievance / complaint against the company, please write to us at : ig.nikunj@nikunjonline.com or contact our Compliance Officer Ms. Monika at email-id: complianceofficer@nikunjonline.com and Phone No.011-47030017-18, Mobile: 8700240043. You may also approach CEO- Pramod Kr. Sultania at email-id: pramodsultania@nikunjonline.com and Phone No. 011-47030015, Mobile: 9811322534. If not satisfied with the response of the Stock Broker/ Depository Participant, you may contact the concerned Stock Exchange / Depository /at the following.

Exchanges	Web Address	Contact No.	E-mail Id
NSE	www.nseindia.com	1800220058	ignse@nse.co.in
BSE	www.bseindia.com	022-22728097	is@bseindia.com
MCX	www.mcxindia.com	022-66494070	grievance@mcxindia.com
NSDL	www.nsdl.co.in	022-24994200	relations@nsdl.co.in
CDSL	www.cdslindia.com	022-22723333	complaints@cdslindia.com

If you are still not satisfied, you may also lodge your grievances with SEBI at http://scores.gov.in. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.

BROKERAGE STRUCTURE

I have read and understood the brokerage and other charges levied by the Broker. I further understand that, in addition to Brokerage and other charge as defined below, I am liable to be charged the following charges: Exchange Transaction Charges, Stamp Duty, STT, GST etc on actual basis as applicable on the date of trade. Besides the statutory and exchange charges. I agree that the following brokerage & other charges will be applied on the trade executed by me.

Segment / Charges	Cash Segment				Future & Option Segment			Currency Derivatives Segment			Commodity Derivatives Segment	
	Square Up Transaction		Delivery Transaction		Future		Option	Future		Option	Future	Option
	Percentage (%)	Minimum Paise (Per Share)	Percentage (%)	Minimum Paise (Per Share)	Percentage (%)	Minimum Paise (Per Share)	Rs. Per Lot	Percentage (%)	Minimum Paise (Per Share)	Rs. Per Lot	Percentage (%)	Rs. Per Lot
Brokerage												
Other Charges												

Note :

1. Rs. 25/- will be charged minimum per script per day.
2. Transaction charges will be levied extra as per Company policy as applicable from time to time.
3. The Company reserves the right to review brokerage, transaction charges and other charges after one year within limits set by SEBI, with sufficient prior notice.

1

Client Signature

BROKERAGE APPROVAL (if required)

Name of Approving Officer :

Designation : Branch / Location :

Date : D D M M 2 0 Y Y

Signature of Branch Head / Zonal Head / Director

DEMAT TARIFF SHEET - NSDL / CDSL

BSDA (Basic Service Demat Account) and Normal (NON BSDA Accounts)

BSDA : Value of Holding in DEMAT A/C	AMC Charges	Regular DEMAT A/C	AMC / other charges
< 4 Lakh	NIL	Individual & HUF	Annual : 260/- p.a. Lifetime : 1000/-
More than Rs. 4 Lakhs but up to Rs. 10 Lakhs	AMC @100/- PER	Corporate (Indian)	Rs. 3000/- p.a.
More than Rs. 10 Lakhs	Not a BSDA. Regular AMC will be levied	NRI Clients all over world	As mutually Agreed
Transaction Charges	**Rate**	Overseas Corporate Bodies	As mutually Agreed
Delivery (Market Trades) (NSDL : 4/- and CDSL 3.50/-)	Rs. 15/- per trade (inclusive of NSDL/CDSL Charges)	Escrow Demat Account (all Types)	As mutually Agreed
Delivery (Off Market Trades) (NSDL : 4/- and CDSL 3.50/-)	0.015% or Rs. 15/- whichever is higher (inclusive of NSDL/CDSL Charges)	Delivery Instruction Book	Rs. 20/- Per book for 10 sllip (First Book Free)
Margin Pledge Instructions NSDL & CDSL Charges: 5/- per inst. Closer/Invocation (margin pledge)	Rs. 10/- per instruction Rs. 10/- per instruction		
Cuspa Pledge Creation	Rs. 20/- per transaction		
Cuspa Pledge Closure	Rs. 20/- per transaction		
Other Pledge Instructions	0.01% or Rs. 50/- Per Instruction whichever is higher		
Closer / Invocation of other Pledge	Rs. 50/- Per Instruction		
SLBM Instruction	Rs. 50/- Per Instruction		
Dematerialization	0.002% of the value or Rs. 10/- Per Certificate whichever is higher		
Rematerialization	Rs. 50/- Per Certificate		

In terms of SEBI Circular No.Circular No.: NSDL/POLICY/2024/0097dated 03/07/2024, all new Accounts will be opened as BSDA account till they meet the criterion specified by SEBI**.** In addition of above specified AMC charges, following Special Rules are applicable for Services of Basic Services Demat Accounts:

1. Other than AMC as specified above, BSDA shall be treated at par with non-BSDA for the purpose of levying charges for various other services.
2. Electronic statements shall be provided free of cost.
3. Physical statement may be charged at a fee not exceeding `Rs.25/- per statement.
4. All other conditions as applicable to regular demat accounts, other than the ones mentioned above, shall continue to apply to basic services

NOTES:

1. Any service not listed above will be charged for extra.
2. Annual charges will be levied w..e.f. 1 Day of the quarter in which accounts is opened.
3. Charges for modification in client master is Rs. 25/- per instance.
4. Charges for delivery instruction accepted at client's sole risk beyond NSDL/CDSL deadline, Rs. 20/- per delivery slip, Delivery instruction slip must be received at Office Address: A-92, GF, Left Portion, Kamla Nagar, Delhi-110007, within NSDL/CDSL stipulated deadline.
5. Non-periodic statement and other communication shall be charged @ Rs. 10/- per page and postage/courier charges @ Rs.40/- per mail.
6. In case of foreign correspondence address, in addition to annual account maintenance charges. Statement/ communication charges @ Rs. 1000/- per mail shall be charges extra.
7. In case of any upward revision in schedule of charges, 30 days' notice would be given by post/courier,
8. Taxes will be charged as per applicable rates.

2

First Holder Signature | *Second Holder Signature* | *Third Holder Signature*

Know Your Client (KYC)

Application Form (For Individuals Only)

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

CDSL VENTURES LIMITED

....Exploring New Horizons

NIKUNJ STOCK BROKERS LTD.

Application Number:

Application Type : Without Supporting KYC Modification

KYC Mode*: Please Tick (✓)

☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline KYC ☐ Digilocker

1. Identity Details (please refer guidelines overleaf)

PAN* ____________________

Name* (same as ID proof) ____ ____________ ____________ ____________

Fathers/Spouse's Name* ____ ____________ ____________ ____________

Marital Status* ☐ Single ☐ Married

2. Contact Details (in CAPITAL)

Email ID ____________________

Mobile No. ____________________

Tel (Off) ____________________ Tel (Res.) ____________________

3. Applicant Declaration

	Applicant e-SIGN	Applicant Wet Signature
I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it. I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address. I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only. DATE: ____________ (DD-MM-YYYY) PLACE: ____________		3

4. For Office Use Only

Intermediary Details (Name and Stamp)*

Institution Name and Stamp

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Please fill the form in English and in BLOCK letters.
C) Please fill the date in DD-MM-YYYY format.
D) Please read section wise detailed guidelines / instructions at the end.
E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
F) List of two character ISO 3166 country codes is available at the end.
G) KYC number of applicant is mandatory for update application.
H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

NIKUNJ STOCK BROKERS LTD.

For office use only
(To be filled by financial institution)

Application Type* ☐ New ☐ Update
KYC Number ______________ *(Mandatory for KYC update request)*
Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

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

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				

Date of Birth* D D — M M — Y Y Y Y

PHOTO

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender
Marital Status* ☐ Married ☐ Unmarried ☐ Others
Citizenship* ☐ IN- Indian ☐ Others (ISO 3166 Country Code ____)
Residential Status* ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin
Occupation Type* ☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector)
☐ O-Others (☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student)
☐ B-Business
☐ X- Not Categorised

Signature / Thumb Impression

☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction **B** at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)
ISO 3166 Country Code of Jurisdiction of Residence* ____
Tax Identification Number or equivalent (If issued by jurisdiction)* ____
Place / City of Birth* ____ ISO 3166 Country Code of Birth* ____

☐ 3. PROOF OF IDENTITY (PoI)* (Please refer instruction **C** at the end)

*(Certified copy of **any one** of the following Proof of Identity [PoI] needs to be submitted)*

☐ A- Passport Number ____ Passport Expiry Date D D — M M — Y Y Y Y
☐ B- Voter ID Card ____
☐ C- PAN Card ____
☐ D- Driving Licence ____ Driving Licence Expiry Date D D — M M — Y Y Y Y
☐ E- UID (Aadhaar) ____
☐ F- NREGA Job Card ____
☐ Z- Others (any document notified by the central government) ____ Identification Number ____
☐ S- Simplified Measures Account - Document Type code ____ Identification Number ____

4. PROOF OF ADDRESS (PoA)*

☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction **D** at the end)

*(Certified copy of **any one** of the following Proof of Address [PoA] needs to be submitted)*

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified
Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar)
☐ Voter Identity Card ☐ NREGA Job Card ☐ Others ____ please specify ____
☐ Simplified Measures Account - Document Type code ____

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

☐ 4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction **E** at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill '**Annexure A1**')

Line 1*

Line 2

Line 3 City / Town / Village*

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

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1*

Line 2

Line 3 City / Town / Village*

State* ZIP / Post Code* ISO 3166 Country Code*

☐ 5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction **F** at the end)

Tel. (Off) –

Mobile – Belongs to me / spouse / father / mother / son / daughter

Email ID Belongs to me / spouse / father / mother / son / daughter

☐ 6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction **G** at the end)

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (**H**) at the end)

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ E- UID (Aadhaar)

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government) Identification Number

☐ S- Simplified Measures Account - Document Type code Identification Number

☐ 7. REMARKS (If any)

8. APPLICANT DECLARATION

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

4 [Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

Date : D D – M M – Y Y Y Y Place :

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT ☐ **IPV DONE** ☐

IPV Date D D M M Y Y Y Y Place

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name **NIKUNJ STOCK BROKERS LTD.**

Code **IN0346**

[Institution Stamp]

NIKUNJ STOCK BROKERS LTD.

CIN : U74899DL1994PLC060413

Regd. & Corp. Office: A-92, GF, Left Portion, Kamla Nagar, Delhi-110007

Tel: 011-47030000-01, email: info@nikunjonline.com

Acknowledgement No.

CKYC NO.

KNOW YOUR CLIENT (KYC) Application Form - For Non-Individual

Please fill this form in ENGLISH and in BLOCK LETTERS

(Please tick ✓ the box on left margin of appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding row)

A IDENTITY DETAILS

☐ **Name of the Applicant**

☐ **Date of Incorporation** **Place of Incorporation**

☐ **Date of commencement of business**

☐ **Permanent Account Number (PAN)**

☐ **Registration No. (e.g. CIN)**

☐ **Status** (Please tick any one)

☐ Private Limited Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership

☐ Trust ☐ Charities ☐ NGO's ☐ FI ☐ FII

☐ HUF ☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government Organization

☐ Defense Establishment ☐ BOI ☐ Society ☐ LLP ☐ Others (Please specify)

PHOTOGRAPH

Please affix the recent passport size photograph of Authorized Signatory with signature across it.

B ADDRESS DETAILS

☐ **Correspondence Address**

City / Town / Village Pin Code

State Country

☐ **Contact Details**

Tel. (Off.) Fax

Tel. (Res.) Mobile No

E-Mail Id.

☐ **Specify the Proof of Address submitted for Correspondence Address:**

☐ **Registered Address** (If different from above)

City / Town / Village Pin Code

State Country

☐ **Specify the Proof of Address submitted for Registered Address:**

C OTHER DETAILS

☐ Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and whole time directors :
If space is insufficient, enclosed these details separately (illustrative format enclosed)

☐ DIN OF Whole time directors :
If space is insufficient, enclosed these details separately (illustrative format enclosed)

☐ AADHAR No. OF Promoters/Partners/Karta :
If space is insufficient, enclosed these details separately (illustrative format enclosed)

D 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.

5

Date

Name & Signature of the Director/Authorised Signatory(ies)

FOR OFFICE USE ONLY

☐ Originals Verified & Self Attested Document copies received

Name & Signature of the Authorised Signatory

Seal/Stamp of the Intermediary

Date Place :____________________

Details of Promoters/Directors/Partners/Karta/Co-parceners/Trustees forming a part of Know Your Client (KYC) Application Form for Non-Individuals

1. **Name** ______________________
2. **Relationship with Applicant** *(i.e. promoters, whole time directors etc.)* ______________________

3a. **PAN** ______________ **3b. DIN/ UID** ______________

4. **Residential/ Registered Address** ______________________

____

City / Town / Village ______________ Pin Code ______________

State ______________ Country ______________

5. Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

1. **Name** ______________________
2. **Relationship with Applicant** *(i.e. promoters, whole time directors etc.)* ______________________

3a. **PAN** ______________ **3b. DIN/ UID** ______________

4. **Residential/ Registered Address** ______________________

____

City / Town / Village ______________ Pin Code ______________

State ______________ Country ______________

5. Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

1. **Name** ______________________
2. **Relationship with Applicant** *(i.e. promoters, whole time directors etc.)* ______________________

3a. **PAN** ______________ **3b. DIN/ UID** ______________

4. **Residential/ Registered Address** ______________________

____

City / Town / Village ______________ Pin Code ______________

State ______________ Country ______________

5. Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

1. **Name** ______________________
2. **Relationship with Applicant** *(i.e. promoters, whole time directors etc.)* ______________________

3a. **PAN** ______________ **3b. DIN/ UID** ______________

4. **Residential/ Registered Address** ______________________

____

City / Town / Village ______________ Pin Code ______________

State ______________ Country ______________

5. Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

1. **Name** ______________________
2. **Relationship with Applicant** *(i.e. promoters, whole time directors etc.)* ______________________

3a. **PAN** ______________ **3b. DIN/ UID** ______________

4. **Residential/ Registered Address** ______________________

____

City / Town / Village ______________ Pin Code ______________

State ______________ Country ______________

5. Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

______________ ______________ ______________

Name & Signature of the Authorised Signatory(ies)

Date d d / m m / y y y y

NIKUNJ STOCK BROKERS LTD.

TRADING & DEMAT ACCOUNT RELATED ADDITIONAL DETAILS

BANK ACCOUNT DETAILS
(Through which transactions will generally be routed)

Primary Bank Details (for DP and Trading) :

Bank Name : ______ Branch : ______

Account No. : ______ Address : ______

IFSC/SWIFT Code : ______ 9 Digit MICR Code : ______

Account Type : ☐ Savings ☐ Current ☐ OTHERS : (Please Specify)

DEPOSITORY ACCOUNT DETAILS
(Through which transactions will generally be routed)

☐ I/We want to open New Demat A/c (Please fill details on Page No. 11)

☐ I/We already have Demat A/c (Please Provide following details)

Depository Name : ☐ CDSL ☐ NSDL DP ID : ______ BOID : ______

Name of Depository Participant : ______

Demat A/c Proof submitted : ☐ Client Master ☐ Transaction or Holding statement

(with Client Name, PAN, DP & Client ID)

FACILITIES

Whether you wish to receive Contract Note: ☐ Electronic ☐ Physical

Whether you wish to receive Standard documents*: ☐ Electronic ☐ Physical

*Standard Documents –Rights & Obligations, Risk Disclosure Document, Guidance Note and Policies & Procedures

☞ Please mention E-mail ID in KYC form (Page 6 - Individual / Page 7 - Non-Individual)

I/We wish to avail facility of internet trading / wireless technology : ☐ Yes ☐ No

TRADING HISTORY

Trading Experience / Number of Years of Investment

☐ ____Years in Equities ☐ ____Years in Derivatives ☐ _____Years in other Investment related fields ☐ No Prior Experience

If you are dealing with any other stock broker, please provide following detail

Name of the Stock Broker ______

Client Code (UCC) ______ Exchange : ☐ NSE ☐ BSE ☐ MCX

Details of disputes / dues pending from / to such stock broker / sub-broker

☞ In case dealing with multiple stock brokers, please provide details of all. (Please Specify)

Past Actions

Details of any action / proceedings initiated / pending / taken by SEBI / Stock Exchange / any other authority against the applicant / constituent or its patners / promoters / whole time directors / authorised persons in charge of dealing in securities during last 3 years.

(Please Specify)

INCOME, EDUCATION & OTHER DETAILS

Gross Annual Income Detail ☐ Below 1 Lac ☐ 1 - 5 Lac ☐ 5 - 10 Lac ☐ Rs. 10 - 25 Lac ☐ 25 Lac - 1 Crore ☐ > 1 Crore

Net-worth in ₹. (*Net worth should not be older than 1 year) ______ **as on (date)** D D M M 2 0 Y Y **(Mandatory for Non-Individual Client)**

Occupation ☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Forex Dealer ☐ Other ______ (Please Specify)

Educational Details : ☐ High School ☐ Graduate ☐ Post-Graduate ☐ Doctorate ☐ Professional Degree ☐ Under High School ☐ Illiterate ☐ Other ______ (Please Specify)

Please tick, if applicable ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person

☞ **In case of Non-Individual, provide held details as page 6.**

Is the entity involved providing any of the following services

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

TRADING PREFERENCE

Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

EXCHANGE	SEGMENT			
	CASH	F & O*	CURRENCY*	COMMODITY
NSE	6a	6b	6c	
BSE	6d	6e	6f	
MCX				6g

* If you wish to trade in derivatives (F&O/Currency) segments, submit ANY ONE of the following income proof (Mandatory)

- ☐ Bank Statement/Passbook (For atleast 6 months period and last entry should not be older than 3 months)
- ☐ Demat A/c Holding Statement (with Value & duly stamped by DP)
- ☐ Latest ITR Acknowledgement
- ☐ Latest Salary Slip/Copy of Form 16
- ☐ Latest Net worth Certificate by CA/CS
- ☐ Self Declaration along with relevant Supporting documents
- ☐ Latest Annual Accounts
- ☐ Any Other relevant documents substantiating ownership of assets

DETAIL OF INTRODUCER AND AUTHORISED PERSON

☐ Authorised Person Registration No. ____ Name : ____

☐ Remisier / BDR Code : ____ Name : ____

☐ Introducing client UCC : ____

Signature of the Introducer

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/We may be held liable for it.
2 I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.
4. I/We declare that Nikunj Stock Brokers Limited, the brokers, has put me/us on notice that it is engaged in not only client based trading but also in pro-account trading.

CLIENT SIGNATURE			
	First / Sole Holder	Second Holder	Third Holder
Sign of Client	7		

FOR OFFICE USE ONLY

UCC : ____

I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document(s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

FOR & ON BEHALF OF **NIKUNJ STOCK BROKERS LIMITED**

Name : ____

Signature : Signature of the Authorised Signatory

Date : D D M M 2 0 Y Y

(Seal / Stamp of Nikunj Stock Brokers Ltd.)

DEMAT ACCOUNT OPENING FORM

NSDL : IN302994 __ __ __ __ __ __ __ __
CDSL : 12100300 __ __ __ __ __ __ __ __

I/ We request to open a Depository Account in my / our name as per the following details : Date : D D M M 2 0 Y Y

ACCOUNT HOLDERS DETAILS

Name of sole/1st Holder (Mr. / Ms. / M/s.) :

PAN : (Email id given in KYC form belongs to me/spouse/son/daughter/father/mother)

Name of 2nd Holder (Mr. / Ms. / M/s.) :

PAN : (Email id given in KYC form belongs to me/spouse/son/daughter/father/mother)

Name of 3rd Holder (Mr. / Ms. / M/s.) :

PAN : (Email id given in KYC form belongs to me/spouse/son/daughter/father/mother)

☞ ***Provide KYC Application Form for all Joint Holders*** *(Download additional KYC form from www.nikunjonline.com/download.aspx)*

Name* : PAN :

**For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.*

Nationality : ☐ Indian ☐ Other ____(Please Specify)____

DETAILS OF GUARDIAN

In case the account holder is minor

Name of Guardian (Mr. / Mrs / Ms.) :

PAN : Relationship :

BANK ACCOUNT DETAILS

Bank Name : Branch :

Account No. : Address :

IFSC/SWIFT Code : 9 Digit MICR Code :

Account Type : ☐ Savings ☐ Current ☐ OTHERS : (Please Specify)

TYPE OF ACCOUNT

(Please ✓ whichever is applicable)

STATUS	SUB-STATUS			
☐ Individual	☐ Individual Resident	☐ Individual Director	☐ Individual Director Relative	☐ Individual HUF / AOP
	☐ Individual Promoter	☐ Minor	☐ Other ____(Please Specify)____	
☐ NRI	☐ NRI Repatriable	☐ NRI Non-Repartriable	☐ RBI Ref. No.________dated________	
☐ Foreign National	☐ Foreign National	☐ Foreign National - Depository Receipts		
☐ Non - Individual	☐ Body Corporate	☐ Trust ☐ OCB	☐ Bank	To be filled by the DP
	☐ Escrow Account	☐ Other ____(Please Specify)____		

☞ *In case of Sole Proprietor / Partnership Firm / Unregistered Trust, Demat account should be opened in the name of Proprietor / Partners / Trustees.*

ADDITIONAL DETAILS

Mode of Operations for Joint & Corporate Account : **Joint Account :** ☐ Jointly ☐ Anyone or Survivors
Corporate : ☐ As Per Board Resolution

I/We authorise you to receive credits automatically into my / our account ☐ Yes ☐ No

Account to be operated through Demat Debit and Pledge Instruction (DDPI) ☐ Yes ☐ No

I/We request you to send Electronic Transaction-Cum-Holding Statement through E-mail ☐ Yes ☐ No
☞ Please mention E-mail ID in KYC form (Page 3-Individual / Page 5-Non-Individual)

SMS Alert Facility on Mobile Number as given in KYC Form *(Mandatory, If you have given PoA.)*
Sole / Ist Holder ☐ Yes ☐ No
IInd Holder ☐ Yes ☐ No IIIrd Holder ☐ Yes ☐ No

Mode of receiving Rights and Obligations *(Tick any one)* ☐ Electronic ☐ Physical

Mode of receiving statement of account *(Tick any one)* ☐ Electronic ☐ Physical

Communication to be sent ☐ First Holder ☐ All Joint Holder

DIS required at the time of Account Opening ☐ Yes ☐ No

DECLARATION

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant.

CLIENT SIGNATURE			
	First / Sole Holder	Second Holder	Third Holder
Sign of Client	8 ☞		
Date : D D M M 2 0 Y Y		Place :	

WITNESS FOR CLIENT	
Name	
Address	
Sign of Witness	

ANNEXURE-A

(SEBI/HO/OIAE/OIAE_IAD-3/P/ON/2025/01650, dated January 10, 2025)

NOMINATION FORM FOR DEMAT ACCOUNTS

I/We hereby nominate the following persons(s) who shall receive all the assets held in my/our demat account in the event of my/our demise, as trustee and on behalf of my/our legal heir(s)*

NOMINATION DETAILS

	Mandatory Details						Additional Details	
	Name of Nominee	Share of Nominee (%)**	Relation-ship	Postal Address	Mobile No. & E-mail	Identity Number	D.O.B. of Nominee	Guardian
Nominee 1								
Nominee 2								
Nominee 3								
Nominee 4								
Nominee 5								
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

*Joint Accounts :

Event	Transmission of Demat Account No.
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners
Demise of all joint holders simultaneously - having nominee	Nominee
Demise of all joint holders simultaneously - not having nominee	Legal heir(s) of the youngest holder

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

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

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

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

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

☐ Name of Nominee(s) ☐ Nomination : Yes / No.

(2) I hereby authorize______________________________(nominee number____________________) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He/She is authorized to encash my assets up to_______% of assets in the account/folio or Rs.__________________________(Optional)

(strike off portions that are not relevant)

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

(4) Signature(s) - As per the mode of holding in demat account(s).

Name(s) of Holder(s)		Signature of Holder/ thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable)*
Sole / First Holder (Mr./Ms.)		9		
Second Holder (Mr./Ms.)				
Third Holder (Mr./Ms.)				

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

Rights, Entitlement and Obligation of the investor and nominee :

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

Transmission Aspects

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

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

DECLARATION FOR OPTING OUT OF NOMINATION — FOR INDIVIDUAL ONLY

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

NAME AND SIGNATURE OF HOLDER(S)*

	First / Sole Holder	Second Holder	Third Holder
Name			
Sign. of Holder	10		

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

(For non-custodial settled trading accounts)

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

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Client Signature

FATCA & CRS DECLARATION - INDIVIDUAL / NON-INDIVIDUAL

Trading Code		DP ID IN302994 | Demat ID	
		DP ID 12100300 | Demat ID	

Sr. No.	Details		1st Holder	2nd Holder	3rd Holder
1.	Address in the jurisdiction details where applicant is resident outside India for tax	Address			
		City / Town / Village			
		State, Pin Code and Country			
2.	Country of Birth	US			
		Other			
3.	Place of Birth	City / Town			
4.	Source of Wealth	Salary			
		Business			
		Gift			
		Ancestral Property			
		Rental Income			
		Prize Money			
		Others			

Please specify the details of all countries where you hold tax residency and its Tax identification Number & Type :

Sr. No.	Details	1st Holder	2nd Holder	3rd Holder
1.	Country of Residence for Tax Purpose (Other than India)#			
2.	Tax Identification No. (US TIN) or Equivalent (Other)			
3.	Identification Type			

To include all countries other than India, where investor is Citizen/Resident/Green Card Holder/ Tax Resident in those respective countries especially of USA.

Declaration & Acknowledgement:

1. I have understood the information requirement of this form (read with the FATCA-CRS Instructions below) and hereby confirm that the information provided above is true, correct and complete to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. In case of any change in the above given status on a future date, I undertake to inform Religare Broking Limited the same within 30 Days.
2. I agree that if I/am a U.S. person or tax resident of a reportable foreign jurisdiction (other that U.S.) requiring reporting under FATCA/CRS or any other Law, my account details, as required under inter governmental agreement (IGA)/Multilateral competent authority agreement (MCAA) Signed by Indian government, Would be reported by Religare Broking Limited to the relevant Tax Authority.
3. If My Country of Birth is US, I/am providing a certificate of relinquishment of Citizenship (loss of Nationality) or a self certification for stating reason for not having such a certificate despite relinquishing US citizenship OR not obtaining US citizenship at birth.

I hereby authorize you to disclose, share, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries to facilitate single submission / updation & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end.

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First Holder Signature	*Second Holder Signature*	*Third Holder Signature*

DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)

VOLUNTARY

I/We agree to the terms and conditions of Demat Debit & Pledge Instructions (herein referred after to as DDPI) between the undersigned individual(s)/entities (hereinafter referred to as client(s)) and Nikunj Stock Brokers Limited (hereinafter referred to as NIKUNJ) for its any of the Clearing Member account / Early pay-in / Pool / Margin Pledge accounts.

S. No.	Purpose	Signature of Client*
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries/settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.	13a 1. ______ 2. ______ 3. ______
2.	Pledging / re-pledging of securities in favour of trading member(TM)/clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	13b 1. ______ 2. ______ 3. ______
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	13c 1. ______ 2. ______ 3. ______
4.	Tendering shares in open offers through Stock Exchange platforms	13d 1. ______ 2. ______ 3. ______

This DDPI document is made on the date and place mentioned hereunder:

Client Name			
Demat DP ID & Client ID		**Trading Code**	
Date :		**Place :**	

Please note that signatures of all the holders of the demat account are required on DDPI Form.

To,
NIKUNJ STOCK BROKERS LTD.
A-92, GF, Left Portion, Kamla Nagar, Delhi-110007

Dear Sir,

I/We ______________________________ a client with member M/s. **NIKUNJ STOCK BROKERS LTD.,** member of NSE, BSE & MCX undertakes as follows:

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

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

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

Client Name: ______________________________ Unique Client Code : ____________________

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Date :____________________ Place:____________________

Verified by______________________________

To,
NIKUNJ STOCK BROKERS LTD.
A-92, GF, Left Portion, Kamla Nagar, Delhi-110007

Dear Sirs,

Re.: Letter of Authority - Our Trading Account with you; UCI:...

I/We have been / shall be dealing through you as my / our broker on the Capital Market and/ or Futures & Options Segments / Currency Derivative Segments / Commodity Derivatives. These instructions are applicable for all the exchanges / segments in which I / we have opened account with you. As my / our broker I / we direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below:

1. **VERBAL ORDER ACCEPTANCE AUTHORISATION:** As I/We shall be dealing by ordering over phone and even if I/we visit your branch/dealer, the fluctuations in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation. I/we hereby authorise you to accept my/our or my/our authorised representative's verbal instructions for order placement / modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/we understand the risk associated with verbal orders and accept the same, and agree that I/we shall not be entitled to disown orders and consequent trades (if any) under the plea that the same were not under mine /our instructions.

2. **STANDING INSTRUCTIONS FOR NO PRINTED ORDER / TRADE CONFIRMATION SLIPS:** I/We hereby authorise you NOT to provide me/us Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required from contracts/bills issued by you.

3. **RECEIPT OF TRADE CONFIRMATION & INFORMATION BY SMS:** I/We hereby agree and give my/our consent for receiving the trade confirmations and/or other market related information / notifications via SMS/text message. I/We have also understood that I/we will not receive the telephonic trade confirmations.

4. **PRINTED FINANCIAL STATEMENTS / BILLS / CONTRACT NOTES:** I/We authorise you to refrain from sending printed copies of financial statements / holding statements / bills / contracts notes / etc. by hand / post / courier to me, unless specifically requested by me/us. I/we prefer to obtain all the required statements / information in digital format by emails or from your website.

5. **AUTHORISATION TO SELL SECURITIES:** I/We understand that in case, of my/our failure to make the funds pay in or delivery of securities for my/our deals/trading by designated day, you are entitled to sell off in the market the securities received in pay out and/or deem our position closed out at applicable rates; or I/We do hereby request you not to carry out such sell off in the market the securities received in pay out and/or deem my/our positions closed out and I/We shall in consideration thereof shall pay the opportunity cost/interest on such non sold off securities and/or non closed out position without demur or protest at such opportunity cost and/or interest as you shall determine entirely at your discretion. I/We do hereby indemnify and agree to compensate for any losses, penalties you may suffer for agreeing to this direction.

6. **PENAL & OTHER CHARGES:** I/We request you to retain credit balance in any of my/our accounts and to use the idle funds towards my/our margin / future obligations at any of the Exchanges unless I/we instruct you otherwise. I/We also authorise you to debit the necessary demat charges from time to time, for keeping my/our shares in securities unpaid account on my behalf. I/ We also authorise you to debit the financial penal charges upto @ 0.10% per day for the debit balances if any, in my/our account and not settled as per the exchange requirements by the designated days. I/we further authorise you to debit my account with bank charges an account of dishonour of cheques, stop payment, RTGS/NEFT/Payment Gateway Charges, DD/PO Charges, Printing & Courier Charges, SMS and advisory services charges, trading platform and software charges as may be applicable from time to time.

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Client Signature

7. **OUTSTANDING POSITION SQUARE-OFF AUTHORISATION**: I/We authorise you to square-off my position entirely or in part as per your discretion anytime if the mark-to-market loss on my outstanding position exceeds 80% of the amount lying to the credit of my account held with you. Further, I/We authorise you to square-off my position entirely or in part as per your discretion anytime during the last 30 minutes of a trading session, in case the amount lying to the credit of my account with you after adjusting the MTM losses if any, is not sufficient to cover the margin required to carryover my outstanding position for the next trading session or to take delivery thereof.

8. **VOICE RECORDING:** I/We agree that as per SEBI guidelines you are required to record the conversations between me/us, my/our representative and your officers/ employees/ agents etc. over the telephone. Such recordings may be relied upon by you as and when required.

9. **PORTFOLIO MANAGEMENT SERVICE:** I/We understand and agree that you or any of your agents do not provide Portfolio Management Services and do not offer any promises or returns on investment in stock market. You shall be in no way responsible for profit/loss that may accrue to me from investment in stock market.

10. **CASH DEALING:** I fully understand that cash dealings are strictly prohibited. I shall not pay or accept cash to/from you or any of your agents/employees.

11. **THIRD-PARTY PAYMENTS :** NIKUNJ shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along with adequate proof thereof as per performa prescribed by NIKUNJ.

    However, due to oversight if any such third-party payment has been accepted by NIKUNJ and the credit for the same has been given in the client ledger, NIKUNJ shall have the right to immediately reverse such credit entries on noticing or becoming aware of the some in such a case, NIKUNJ reserves the right to liquidate any of the open positions and of the collaterals received/held on behalf of the client. NIKUNJ, its Directors and employees shall not be responsible for any consequential damages or losses.

12. **NO MARKET MANIPULATION :** I undertake not to execute transaction, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, NIKUNJ has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

13. **PMLA DECLARATION :** I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002 which ware also explained to me by NIKUNJ officials. I further declare that I shall adhere to all provision of PMLA Act, 2002. I further declare that I shall undertake and confirm that,

    a. I do not have any links with any known criminal

    b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

14. **INDEMNITY OF JOINT HOLDINGS :** I hereby agree to indemnify and hold NIKUNJ harmless from any trade related claims, demands, action, proceedings , losses, damages, liabilities, charges and/or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

15. **NRI DECLARATION :** I undertake to keep informed NIKUNJ about my tax status from resident to NRI or vice versa.

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Client Signature

17. **CLIENT DEFAULTER DECLARATION :** I hereby declare that I have not been involved in any terrorist activities and I have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchange/Regulatory bodies, etc.

18. **RUNNING ACCOUNT AUTHORISATION:** I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Commodity derivatives segment & in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

    1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
    2. I/We request you to settle my fund once in every calendar Quarter or once in a calendar Month or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
    3. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds/Mutual Fund Units towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
    4. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.

    The running account authorization provided by me shall continue and remain valid until it is revoked by me anytime in writing.

    ☐ Once in a Calender Quarter ☐ Once in a Calender Month

Yours faithfully,

Date: ....

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Client Signature

Note : Please note that all above mentioned declaration/standing instructions are voluntary for the purpose ease of doing business for both of us. If you don't agree with any of above mentioned point please strike it out.

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Client Signature

CLIENT PROFILE

Please take some time out to fill below form & help us serve you better.

1. What is your income range (per Annum)?
   ☐ <2 Lakh ☐ 2-5 Lakh ☐ 5-10 Lakh ☐ 10-20 Lakh ☐ 20-30 Lakh ☐ >30 Lakh
2. What is your accommodation type?
   ☐ Rented ☐ Own House
3. What is your source of income?
   ☐ Salary ☐ Business Income ☐ Rental Income ☐ Interest Income
4. How long have you been investing in Stocks/Mutual Fund?
   ☐ No Experience ☐ 1-3 Years ☐ 3-5 Years ☐ 5-10 Years ☐ >10 Years
5. What is your current value of Stocks & Mutual Fund?
   ☐ < 1 Lakh ☐ 1-5 Lakh ☐ 5-10 Lakh ☐ 10-25 Lakh ☐ 25-50 Lakh ☐ >50 Lakh
6. What is your total percentage (%) of Investment allotted to Stocks & Mutual fund (Capital Markets)?
   ☐ 0-10% ☐ 10-20 % ☐ 20-30% ☐ >30%
7. Investment in Real Estate
   Current Investment (other than own house):
   ☐ < 25 Lakh ☐ 25 – 50 Lakh ☐ 50 Lakh – 1 Crore ☐ 1 – 2 Crore ☐ >2 Crore
   Planning to invest in next 1 year:
   ☐ < 25 Lakh ☐ 25 – 50 Lakh ☐ 50 Lakh – 1 Crore ☐ 1 – 2 Crore ☐ >2 Crore
8. Investment in fixed income instruments (FD, Bond, NCD)
   Current Investment:
   ☐ <5 Lakh ☐ 5 – 10 Lakh ☐ 10 – 25 Lakh ☐ 25 Lakh – 1 Crore ☐ >1 Crore
   Planning to invest in next 1 year:
   ☐ <5 Lakh ☐ 5 – 10 Lakh ☐ 10 – 25 Lakh ☐ 25 Lakh – 1 Crore ☐ >1 Crore
9. Have you taken Life Insurance?
   Yes/ No Life Cover ₹ __________ Premium ₹ __________
10. Have you taken Health Insurance?
   Yes/ No Health Cover ₹ __________ Premium ₹ __________
11. Do you own any of these?

	Brand/Model	Year of Purchase
a) Four Wheeler		D D M M Y Y Y Y
b) Two Wheeler		D D M M Y Y Y Y

ACKNOWLEDGMENT SLIP (Photocopy of this page should be given to client)

S.No.: ____________

We acknowledge receipt of application for opening a trading and demat account from:

Mr./Ms./M/s. ______________________________

As first applicant along with documents and cheque(s).

	Towards	Amount	Cheque No.	Date	Bank Name and Branch
☐ Y ☐ N	Account opening fee (For Trading Account)				
☐ Y ☐ N	Margin Amount				

Signature of Sales Executive: ____________________ RM/AP/SB Code: ____________

Name: ______________________________

Date: ____________ Place: ____________

- Issue **A/c payee** cheque in the favour of **NIKUNJ STOCK BROKERS LTD.** For better compliance never pay any fee in cash.
- You may **check A/c opening status** on **www.nikunjonline.com**
- You will receive an SMS & E-mail notification on activation of your account.