



COMMON KYC FORM

C KYC

Agency

KRA

Trading Client Code

Asiatic
Stock & Securities Limited
NSE

CORPORATE OFFICE :
205-206, Sita Ram Mansion, 718, Joshi Road, Karol Bagh, New Delhi-110005
Telephone No. : 011-4154-5955/56/57/58, 23554225/6/7, 2363 3955
E-mail : asiaticstock@gmail.com | Website : www.asiaticstock.in

- ☐ Premium Account
- ☐ Regular Account
- ☐ Simplified Account



INDEX OF DOCUMENTS*

S. No.	Name of Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	A. CKYC form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	2 to 10
2.	Rights and Obligations (Trading & DP)	Document stating the Rights & Obligations of stock broker/trading member , sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading)	As per separate booklet (As per format annexure 5, 6 & 7) as per SEBI Circular: CIR/ MIRSD/64/2016 dt. 12-07-2016
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
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* SOFT COPIES OF THE DOCUMENTS ARE AVAILABLE ON WWW.ASIATICSTOCK.IN

Details of premium & simplified accounts special terms & conditions are also available on demand & on site.



ASIATIC STOCK & SECURITIES LTD.

SEBI REGN NO.:	DATE
NSE Cash -INB230784535	14-09-1995
NSE F&O -INF230784535	03-09-2002
NSE CDS -INE230784535	27-08-2008

CORPORATE OFFICE :

205-206, Sita Ram Mansion, 718, Joshi Road, Karol Bagh, New Delhi-110005
Telephone No. : 011-4154-5955/56/57/58, 23554225/6/7, 2363 3955
E-mail : asiaticstock@gmail.com | Website : www.asiaticstock.in

REGD. OFFICE:

II C/112, Sector-2, Noida, Uttar Pradesh - 201 301, India

Compliance Officer's Details

Name	: Abhinav Gupta	Phone No. : +91-011-41545955
E-mail Id	: abgupta840@gmail.com	

CEO's Details

Name	: Harvind Kumar Gupta	Phone No. : +91-011-41545955
E-mail Id	: hkgupta.asiatic@gmail.com	

For any grievance / dispute please contact ASIATIC STOCK & SECURITIES LTD. at the above address or email id Complaint @asiaticstock.in and Phone no. 011-23554225/6/7/8, 23633955 In case not satisfied with the response, please contact the concerned exchange(s) at

Exchange Name	E-mail ID	Phone No.
National Stock Exchange of India Ltd.	ignse@nse.co.in	011-23344313 Toll Free : 1800 22 0058 (Toll Free)
Bombay Stock Exchange Ltd.	iscdelhi@bseindia.com	011-41510481
Metropolitan Stock Exchange of India Ltd.	investorcomplaints@msei.in	022-61129028

*This booklet contains 14 signatures in Trading Account shall be signed by the client. Client shall go through the documents carefully, In case of any query immediately contact us before signing the documents and please sign where ever mark (✓).

E-MAIL ID / MOBILE NUMBER DECLARATION

Asiatic Stock & Securities Ltd.

Trading Member NSE

205-206, Sita Ram Mansion, 718, Joshi Road, Karol Bagh, New Delhi-110005

Telephone No. : 011-4154-5955/56/57/58, 23554225/6/7, 2363 3955

E-mail : asiaticstock@gmail.com | Website : www.asiaticstock.in

1. I hereby request you to add mobile/Email id of my(Relation) in my KYC/KRA, consent of whom is given below.
OR
2. I hereby confirm & declare that, I do not have the the mobile number/email id.

Yours faithfully,

Client Signature  Client Name _____ Client Code _____

Relative Signature * Client Name _____ Client Code _____

* If using relative e mail id /mobile number

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.



For office use only <i>(To be filled by financial institution)</i>	Application Type* <input type="checkbox"/> New <input type="checkbox"/> Update	KYC Number <input type="text"/>	(Mandatory for KYC update request)
	Account Type* <input type="checkbox"/> Normal <input type="checkbox"/> Simplified (for low risk customers) <input type="checkbox"/> Small		

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

Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>		
Gender*	<input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender		
Marital Status*	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others		
Citizenship*	<input type="checkbox"/> IN- Indian <input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
Residential Status*	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector) <input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorised		

PHOTO

 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*	<input type="text"/>
Tax Identification Number or equivalent (If issued by jurisdiction)*	<input type="text"/>
Place / City of Birth*	ISO 3166 Country Code of Birth* <input type="text"/>

☐ 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)

<input type="checkbox"/> A- Passport Number <input type="text"/> <input type="checkbox"/> B- Voter ID Card <input type="text"/> <input type="checkbox"/> C- PAN Card <input type="text"/> <input type="checkbox"/> D- Driving Licence <input type="text"/> <input type="checkbox"/> E- UID (Aadhaar) <input type="text"/> <input type="checkbox"/> F- NREGA Job Card <input type="text"/> <input type="checkbox"/> Z- Others (any document notified by the central government) <input type="text"/> <input type="checkbox"/> S- Simplified Measures Account - Document Type code <input type="text"/>	Passport Expiry Date <input type="text"/> Driving Licence Expiry Date <input type="text"/> Identification Number <input type="text"/> Identification Number <input type="text"/>
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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*	<input type="checkbox"/> Residential / Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport <input type="checkbox"/> Driving Licence <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Voter Identity Card <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> Others <input type="text"/> please specify <input type="checkbox"/> Simplified Measures Account - Document Type code <input type="text"/>

Address

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	Pin / Post Code* <input type="text"/> State / U.T Code* <input type="text"/> ISO 3166 Country Code* <input type="text"/>



ASIATIC STOCK & SECURITIES LTD.

Trading Member NSE

As Per SEBI Circular No. CIR/MIRSD/13/2013
Dated Dec 26, 2013

KNOW YOUR CLIENT (KYC) APPLICATION FORM

MANDATORY

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

FOR NON-INDIVIDUALS

A. IDENTITY DETAILS

1. Name of the Applicant :
2. Date of incorporation :
& Place of Incorporation :
3. Date of Commencement of Business :
4. a. PAN b. Registration No. (e.g. CIN) :
5. 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)

Please affix
your recent
passport size
photograph and
sign across it

B. ADDRESS DETAILS

1. Address for :
Correspondence City/Town/Village : Pin Code :
State : Country :
2. Contact Details : Tel. (Office) : Tel. (Res.) : Mobile :
Fax : E-mail :
3. Specify the proof of address submitted for correspondence address :
Validity / Expiry of address proof submitted :
4. Registered Address :
(if different from above) City/Town/Village : Pin Code :
State : Country :
5. Specify Proof of address :
Validity / Expiry :

C. OTHER DETAILS

Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees/Authorised Signatories and whole time directors

- Name (1) :
- PAN :
- Residential :
- Address City/Town/Village : Pin Code :
State : Country :
- DIN / UID : Adhaar Number :
- Any Other Information :

Photographs of
Promoters/Partners/
Karta/
Trustees and whole
time directors

Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees/Authorised Signatories and whole time directors

Name (2) :

PAN :

Residential :

Address City/Town/Village : Pin Code :

State : Country :

DIN / UID : Adhaar Number

Any Other Information :

Photographs of
Promoters/Partners/
Karta/
Trustees and whole
time directors

Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees/Authorised Signatories and whole time directors

Name (3) :

PAN :

Residential :

Address City/Town/Village : Pin Code :

State : Country :

DIN / UID : Adhaar Number

Any Other Information :

Photographs of
Promoters/Partners/
Karta/
Trustees and whole
time directors

Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees/Authorised Signatories and whole time directors

Name (4) :

PAN :

Residential :

Address City/Town/Village : Pin Code :

State : Country :

DIN / UID : Adhaar Number

Any Other Information :

Photographs of
Promoters/Partners/
Karta/
Trustees and whole
time directors

DECLARATION

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

Name : Signature of the Authorised Signatory/ies  4.1

Signature of the Authorised Signatory/ies  4.2

Signature of the Authorised Signatory/ies  4.3 Place : Date :

FOR OFFICE USE ONLY

☐ Originals verified and Self-Attested Document copies received

Date :

Name & Signature of the Authorised Signatory

Seal/Stamp of the Intermediary

A. IMPORTANT POINTS

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

B. Proof of Identity (POI)

List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA)

List of documents admissible as Proof of Address:

(*Documents having an expiry date should be valid on the date of submission.)

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).

2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

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

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

TRADING ACCOUNT RELATED DETAILS

MANDATORY

ANNEXURE-3

FOR INDIVIDUALS & NON-INDIVIDUALS

A. BANK ACCOUNT(S) DETAILS

Bank Name (1) :										
Branch Address :										
	City/Town/Village :							Pin Code :		
	State :							Country :		
Bank Account No. :										
Account Type :	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others - in case of [<input type="checkbox"/> NRI <input type="checkbox"/> NRE <input type="checkbox"/> NRO]									
MICR Number :								IFSC Code :		
Bank Name (2) :										
Branch Address :										
	City/Town/Village :							Pin Code :		
	State :							Country :		
Bank Account No. :										
Account Type :	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others - in case of [<input type="checkbox"/> NRI <input type="checkbox"/> NRE <input type="checkbox"/> NRO]									
MICR Number :								IFSC Code :		




B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name (1) :										
Depository Name :	<input type="checkbox"/> NSDL DP ID :				BO ID :					
	<input type="checkbox"/> CDSL DP ID :				BO ID :					
Beneficiary Name :										
Depository Participant Name (1) :										
Depository Name :	<input type="checkbox"/> NSDL DP ID :				BO ID :					
	<input type="checkbox"/> CDSL DP ID :				BO ID :					
Beneficiary Name :										

C. TRADING PREFERENCES

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

NSE

CASH	 5.1
F&O	 5.2
CURRECNY	 5.3

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

D. OTHER DETAILS

Gross Annual Income Details (please specify):

Income Range per annum ☐ Below ₹ 1 Lac ☐ ₹ 1-5 Lac ☐ ₹ 5- 10 Lac ☐ ₹ 10-25 Lacs ☐ Above ₹ 25 Lacs

OR Net-worth as on (Net worth should not be older than 1 year)

Occupation (please tick any one and give brief details)

☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist
☐ Retired ☐ Housewife ☐ Student ☐ Others _____

Please tick, If applicable ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

Any Other Information :

E. PAST ACTIONS

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

1.
2.
3.

F. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

- If Client is dealing through the sub-broker, provide the following details:

Sub-broker's Name :SEBI Registration Number :
Phone : Fax : Website :
Registered Office Address :
City/Town/Village :Pin
State : Country :

- Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of Stock Broker :
Name of Sub-broker (if any) :
Registered Office Address :
Pin Code :
Client Code :
Exchange :

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

G. ADDITIONAL DETAILS

- Whether you wish to receive A. Rights & Obligations of Stock Broker, Sub-Broker & Client, B. Rights & Obligations of Beneficial Owner & Depository Participants, C. Unique Form Risk Disclosure Documents, D. Guidance Note Detailing Do's & Don't for Trading on Stock Exchanges. Physical or Electronic form Rights & Obligations Uniform Risk Disclosure & Guidance Note.
- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) :
☐ Physical Contract Note ☐ Electronic Contract Note
Specify your Email id, if applicable :
(Any change is to be communicated through a physical letter)
- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify) ☐ Yes ☐ No
- Number of years of Investment/Trading Experience Years
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of ☐ Company ☐ Firm ☐ Others.....
- Any other information :

H. INTRODUCER DETAILS (Optional)

Name of the Introducer :
Sur Name Name Middle Name
Status of the Introducer : ☐ Sub-broker ☐ Remisier ☐ Authorized Person ☐ Existing Client
☐ Others, please specify.....
Address of the Introducer :
City/Town/Village :Pin Code :
State : Country :
Phone No. :
Signature of Introducer :

FOR OFFICE USE ONLY

Kra No.

Upload/Download

Verified by

UCC Code allotted to the Client :

	Documents verified	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

Account Opened by : Date :

Exchange activated & Mapped by : Date :

Rechecked by : Date :

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.

Name & Signature of the Authorised Signatory

Date

Seal/Stamp of the Stock Broker

INSTRUCTIONS/ CHECK LIST FOR F&O / CURRENCY ACTIVATION

- Additional documents in case of trading in derivatives segments - illustrative list:
 - Copy of ITR Acknowledgement
 - Copy of Annual Accounts
 - In case of salary income - Salary Slip, Copy of Form 16
 - Net worth certificate
 - Copy of demat account holding statement.
 - Bank account statement for last 6 months
 - Any other relevant documents substantiating ownership of assets.
 - Self declaration with relevant supporting documents.
 - In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.
- Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For Individuals
 - Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
- For Non-Individuals
 - Form need to be initialized by all the authorized signatories.
 - Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

1. Refusal of orders For Penny Stock(s):

ASSL shall have the absolute discretion to accept, refuse or partially accept any buy or sell order for execution from a client in respect of penny stock, illiquid stocks having low liquidity, illiquid "options", far month "option" writing of "options", stocks in S, Z and B2 Category and any other contracts which as per the perception of stock Broker are extremely volatile or subject to market manipulation.

Stock broker is advising to the clients not to deal in penny securities and if client deals with the penny stocks, 100% margin will be taken from the client and these shares will not be taken to as Margin deposit. The stock broker shall have authority from time to time limit (quantity/ value) or refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies) or may require compulsory settlement / advance payment of expected settlement value/ delivery of securities for settlement prior to acceptance / placement of order(s) as well, the order being for securities which are not in the permitted list of the stock broker / exchange(s) / SEBI or does not commensurate with the risk profile of the client as assessed by the broker. Decision of Broker will be binding on the client and will be final.

2. Setting Up Client' s Exposure Limits:

The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time. The client is aware and agrees that the stock broker may need to vary or reduce or impose new limits urgently on the basis of the stock broker's risk perception, risk profile of the client and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions/limits (such as broker level/ market level limits in security specific / volume specific exposures etc.).

In case margin is kept in securities, Broker would value these securities after applying such haircut as it deems appropriate which would not be less than 20% in approved securities and not less than 50% in unapproved securities. Similarly for providing exposure to client, Broker can pledge such securities in favor of clearing member/ Clearing Corporation or Bank.

The stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The

client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. Sometimes client's sauda may go to IOC (Immediate or Cancel) instead of normal bidding if broker terminal is on square off mode.

The Stock Broker at its sole discretion can give extra exposure or intraday limit to the client, such extra exposure will automatically be squared off by trading mechanism without any further reference to the client appx. 15 minutes before the scheduled closing.

3. Applicable Brokerage Rate:

Brokerage shall be applied as per the rates agreed upon with the client in the KYC at the time of registration of the client and/or subsequently through a written agreement between client and Farsight . The rate of Brokerage shall not exceed the maximum brokerage permissible under Exchange bye-laws.

The slab rates of brokerage fixed by ASSL are function of the quality and cost of services provided to the client and the volume and revenue expected from an account. It shall be reviewed by the ASSL from time to time and may be increased with prospective effect at a notice of 15 Days sent to the E-mail address or postal address of the client registered with ASSL.

The brokerage shall however be exclusive of the following:

- DP Annual maintenance charges
- DP transaction charges / Pledge/Re-pledge/Demat/Re-mat Charges
- DP Inter settlement charges
- Account Opening Charges
- Delayed payment charges
- Penalties levied by Exchange
- Research advisory charges
- Courier charges
- Bank charges towards the cheques received unpaid
- DP, Bank and other processing charges towards periodic settlement of Funds/Securities on periodic basis.
- Statutory charges payable to Exchange/SEBI/Govt. Authorities etc.
- SEBI/Exchange/Clearing Member Turnover charges
- Other out of pocket and services related charges

4. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws)

Client shall be liable to penalty and other charges on nonpayment of margin money, short selling of securities or units, failure on payment of auction, cheque bounce, non delivery of shares, increase open position or on any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force as per Rules, Regulations, Guidelines and Circulars issued by SEBI and stock exchange time to time and client will be kept informed about the rate of such penalties & fines. Similarly in case of non receipt of full payment of value of delivery purchased, margin imposed (initial + MTM) interest will be charged at 21% p.a. calculated on daily basis on shortfall amount till the date of actual realization of money.

However, broker will not pay any interest on unutilized margin or balance in trading Account of the clients. In case of repeated violation by client, additional penalty (as disclosed on website) will be levied.

All fines/penalties and charges levied upon the Client due to its acts / deeds or transactions will be recovered by the Stock Broker directly from the client's account.

5. The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues (This shall be limited to the extent of settlement/margin obligation)

ASSL shall have right to sell client's securities, both unpaid as well as collaterals deposited towards margins, or close out client's open positions, without giving notice to the client where there is a delay/failure of the client to meet the pay-in obligations and /or there is a failure of the client to bring additional margin to cover the increase in risk in the dynamic market conditions.

- a. Unpaid Securities in Capital Market:-

i. In case of unpaid obligation on T+3, ASSL may sell the unpaid/ partially paid securities. In addition ASSL may sell the collaterals deposited by the client towards margin and/or paid securities purchased by the client in earlier settlements where the sale of proceeds of unpaid securities are inadequate to cover the pay-in obligations and where the unpaid securities appear to be comparatively illiquid and cannot be sold at reasonable rates to the extent required.

- ii. ASSL may follow the LIFO or Average method for liquidation of securities but it shall not be binding on it to follow this method in all cases.

- b. The Margin Shortfall in F&O:-

- I. Positions of the client may be closed out to the extent of margin shortfall on the T+1 basis.
- II. While computing margin shortfall, Value of unapproved securities shall not be considered.
- III. As per the current Exchange requirements, the member Broker is required to maintain a 50:50 ratio between cash and collaterals margin deposited with the Exchange. ASSL shall therefore have the prerogative to insist for at least 50% of margin in cash and may not consider the value of securities over and above the cash component for the purpose of calculating margins shortfall and close out the F&O Position wherever it finds the deviation. However, sales made in capital market segment shall not be considered while closing F&O Positions on T+1 basis due to margin shortfall.

- C. Intra-day Positions:-

ASSL shall have right to close out any intra-day Positions taken by the client after a defined " Cut-off" time (Presently 20 minutes before close of market).

- D. General

- i. While selling the securities/ closing the clients positions, ASSL may take into account the sales made by the client, Positions closed by the client or collections received from the client till cut-off time (Presently 12.00 pm).
- ii. While selling the Securities/ Closing the clients positions, ASSL may not take into consideration cheques/Bank Drafts/ Pay orders deposited by the client with ASSL until clear proceeds of such instruments are received by ASSL in its bank account.
- iii. ASSL shall have the right to sell client's securities or close out client's open positions but it shall not be under any obligations to undertake this exercise compulsorily. ASSL shall therefore not be under any obligation to compensate/or provide reasons of any delay or omission on its part to sell client's securities or close open positions of the client.

6. Shortages in obligations arising out of internal netting of trades

The policy and procedure for settlement of shortages in

obligations arising out of internal netting of trades is as under:

- a. The short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Pay-in/Payout Day. The securities delivered short are purchased from market on T+2 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies + 5 % extra) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
 - b. If securities cannot be purchased from market due to any reason, the short delivering seller is debited at the closing rate on T+2 day or Auction day on Exchange +10% and buyer will be given credit. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/ credits shall be as per Exchange Debits and Credits after deducting exchange penalties.
 - c. In case of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction
7. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.

The stock broker may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker / exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances.

1. for non-payment or erosion of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the client's liabilities/ obligations.
2. Any order which is at any point of time in executed without the required Margin in the Client's account or the brokers exposure is more than 85% and above so no fresh trade will be taken.
3. The client hereby authorizes the Stock Broker to

square up all his outstanding positions at the discretion of the Stock Broker, which are not marked for delivery 15 minutes before the closing time of the normal market or if the client's margin is evaporated by 80% in any of exchanges, ASSL reserves the right to square off positions. Therefore it has been expressly explained and understood by the client that his intraday /existing position/addition position can be closed square off 80% of the margin in cash is evaporated or mark to mark loss at any point of the time reached 80% of the cash deposit , not with standing any other clause in this clause.

4. Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security due to any action on account of unusual trading activity or stock hitting circuit filters or for any other reason as prescribed or instructed by SEBI.
5. The stock broker is entitled to disable / freeze the account or trading facility / any other service if, in the opinion of the stock broker, the client has committed a crime, fraud or has acted in contradiction of this agreement or / evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

Any profit/loss arising out of these transactions shall be at the risk of and borne by the client.

8. Temporarily suspending or closing a client's account at the client's request

Client may instruct the member to close out the account or suspend the trading through client's account for the period as specified in the request in written and duly signed by him.

The stock broker can with hold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

ASSL may carry a periodic review of the client accounts and may suspend the accounts from Trading in the following circumstances:-

- Where the client is inactive for more than 6 months
- Physical contract notes are received back undelivered due to reasons like "no such person" , "addressee left" , refusal to accept mails, POD's signed by the third persons, signature mismatch on POD's or other reasons which may create suspicion.

- ECN failed (Bounced email) on more than 3 instances until client submits and registers new email id.
- Client can also send an email from designated mail id for reactive request.

9. Deregistering a client

Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- If the action of the Client are prima facie illegal/ improper or such as to manipulate the price of any securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.
- If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the security transactions;
- If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- If the Client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the Stock broker;
- If any covenant or warranty of the Client is incorrect or untrue in any material respect; However notwithstanding any termination of the agreement, all transactions made under / pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place of execution of this agreement by Stock Broker.
- If the client do not transact for a period exceeding 2 years, in such cases, fresh declaration/documents will be required and due diligence will be carried out before activating the Account.

10. INACTIVE CLIENT ACCOUNT

Client account will be considered as inactive if the client does not trade for period of 11 month. Calculation will be

done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive. The client has to make written request for reactivation of their account.

Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through anyone or more means or methods such as post / speed post / courier / registered post / registered AD / facsimile / telegram / cable / e-mail / voice mails telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the stock broker; by publishing / displaying it on the website of the stock broker / making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc.; or any other suitable or applicable mode or manner. I/we agree that the postal department / the courier company / newspaper company and the e-mail/ voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail/voice mail service provider, etc. by the stock broker and I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me/ us and stock broker before any court of law / judicial / adjudicating authority including arbitrator/ mediator etc.

I further undertake to adhere to the procedures & code of ethics prescribed by SEBI / Exchanges in this regard. Broker shall not be responsible for any transactions entered by the client in their personal capacity with the employees of broker, if any.

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TARIFF SHEET

Client Code : _____ Client Name : _____

CAPITAL MARKET SEGMENT

	NSE	
	in %age terms	Minimum ₹ (per share)
Intraday		
Delivery		
Trade to Trade		

FUTURES & OPTIONS SEGMENT

	FUTURES		OPTIONS
	in %age terms	Minimum ₹ (per lot)	₹ Per Lot
NSE			

CURRENCY DERIVATIVES SEGMENT

	in %age terms	Minimum ₹ (per lot)	₹ Per Lot
NSE			

* Transaction Charges, Service Tax/GST, STT, Stamp Duty, SEBI Fee, Other Govt. Levies are extra.

One Time Account Opening Charges (Rs.).....

Technology Charges maximum 0.1% subject to volume.

Recurring Charges : Monthly..... Quarterly..... Half Yearly..... Yearly.....

Note : Dispatch of Contract Note : Through Ordinary Post Free. Through Courier Rs. 30/-

In case of previous years duplicate printout Rs. 200/- per statement.

 7 _____

ACKNOWLEDGMENT FROM CLIENT

VOLUNTARY

To,

Asiatic Stock & Securities Ltd.

With reference to my application for opening of account I hereby acknowledge

(a) For Depository Account

Receipt of duly executed copy of DP AOF executed by me and "Rights and Obligations of the Beneficial Owner and Depository Participant."

(b) For opening trading account

Receipt of duly executed copy of KYC, Annexures 4, 5, 6 as prescribed and all other document as executed by me.

Trading Code DPID

 8 _____

My E-mail Id

(Signature of client)

VOLUNTARY

Date :

To,

Client Code :

Asiatic Stock & Securities Ltd.

205-206, Sita Ram Mansion, 718, Joshi Road, Karol Bagh, New Delhi-110005

Demat Client ID :

Telephone No. : 011-4154-5955/56/57/58, 23554225/6/7, 2363 3955

E-mail : asiaticstock@gmail.com | Website : www.asiaticstock.in

Sub : Letter of Authority - NSE (All Segment)

I/We am/are dealing in securities with you at NSE Capital Market Segment, Derivatives Segment and Currency Segment in order to facilitate ease of operations. We authorize you as under :

1. Running Account:

I/We am/are/ shall be maintaining a trading account with you for the purpose of doing trading transactions through you as my/our broker. I/We have been / shall be dealing on the Capital Market Segment, Futures & Options Segment and/or Currency Derivative Segments of NSE. As my/our broker i.e. agent I/we direct and authorize you to carry out trading / dealing on my/our behalf as per instructions given below.

I/We authorize you to setoff outstanding Funds and/or Securities in any of my/our accounts against credit balances of Funds and/or Securities available or arising in any other accounts maintained with you by me/us and /or against the value of cash margin or collaterals shares provided to you by me/us, irrespective of the fact whether such credit balances in my/our accounts pertain to different trading segments of the same Stock Exchange or of different Stock Exchanges.

Further, I am/we are aware that you and I/We have the option to deliver securities / make payments of funds to each other for settlement of dealing as per the schedule in force at the relevant time pursuant to directives / regulations / circulars, issued by exchange / regulatory authorities. However, I/We may find it difficult to carry out repeated pay-in of funds and securities. Further, I/We also desire to use my/our securities and monies as margin /collateral without which I/We cannot deal/trade.

Therefore, I/we hereby direct and authorize you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds of exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/dealings. Similarly, where I/we have to receive securities / funds in settlement of trades / dealings please keep the securities and monies with you and make credit entries for the same in running accounts of securities and funds maintained by you. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin / collateral for my/our dealing / trading.

In the event I/We have outstanding obligations on the settlement date, you may retain the requisite securities / funds 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. While settling the account please send a 'statement of accounts' containing an extract from ledger of funds and extract from the register of securities displaying all receipts / deliveries of funds / securities. Please explain in the statement(s) being sent the retention of funds/securities and the details of the pledge, if any. I/We state that if I/We fail to bring any dispute arising from the statement so made to your notice within 7 working days from the date of receipt of funds/securities or statement, as the case may be, in writing by delivery of letter at your registered office then in that event the statement of account or settlement so made shall attain finality. Further, do not carry out settlement of running account running account referred to above for funds given by me/us towards collaterals / margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR) or if the balance outstanding is less than Rs. 10,000.

Further, please note that I may revoke the authorization at any time (i.e. without notice) by informing you in writing.

My / our preference for actual settlement of funds and securities is at least.

☐ Once in a Calendar Quarter ☐ Once in a Calendar Month

 _____

2. **Telephonic Conversation & Verbal Order:**

I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you. I/We authorize you to record the telephonic conversations.

However as I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid the it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my/our authorized representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line/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) by shifting the burden of proof by asking you to prove the placement/modification and cancellation of orders through telephone recording or otherwise.

3. **Electronic On-Line trading:**

Trading in exchanges is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control of you and may result in delay in processing or not processing buy or sell orders either in part or in full. I agree that I shall be fully liable and responsible for any such problems glitch. The sauda or position shown by Exchange main D - terminal or as uploaded by Exchanges in the evening in obligation file would be deemed to be final.

4.1 The client agrees that the Stock Broker will not be responsible for the non-receipt of the trade confirmation due to any change in the correspondence address of the client not intimated to the Stock Broker in writing. Any change in the e-mail id and mobile no. shall be communicated by the client through a physical letter to the trading member, duly acknowledged.

4.2 The client is aware of the present KRA/KYC system through which particulars of client like address, email id etc. can be changed by any intermediary. If Farsight comes to know of any changes through KRA/KYC systems it can modify and dispatch /mail the details new address.

5. The client agrees that the Stock Broker will not be responsible for the non-receipt of the trade confirmation/contract notes or any other data/ information due to any change in the address/ E-mail address etc. not intimated to the trading Stock Broker in writing. The client also understands that he will have to down load the data/information within a week of the trading date and the Stock Broker shall be at liberty to delete old data that is to say data more than a week old from the web server without any notice.

6. **SMS/e-mail by Exchanges:**

I am aware that exchanges are sending SMS/e-mails providing trade confirmation and details. In case I do not get any details or discover any discrepancy, I shall report to the broker in writing. I further undertake to inform the broker in writing in case there are any changes in given mobile/telephone number and e-mail id.

7. I am aware that broker is under obligation for carrying out Due Dilligence of its clients on a continuous basic. Therefore, I undertake to provide explanation and documentary evidence for my transactions showing sources of money in case of buying, and sources of delivery in case of selling.

* Strike off the clauses not relevant to you.

Thanking you,

Yours faithfully,

10. _____

Client Signature

(DISCLOSURE TO CLIENT)

To, _____
(Fill Client Name & Address)

Sir,

As per exchange notification, we hereby inform you that, we do client based business and trading on our own account also.

Thanks and best regards

For Asiatic Stock & Securities Ltd.

(Authorized Signatory)

I acknowledge receipt of your information that you do client based business and Pro account trading.

11. _____

(Client Signature)

Asiatic Stock & Securities Ltd.

Trading Member NSE

205-206, Sita Ram Mansion, 718, Joshi Road, Karol Bagh, New Delhi-110005

Telephone No. : 011-4154-5955/56/57/58, 23554225/6/7, 2363 3955

E-mail : asiaticstock@gmail.com | Website : www.asiaticstock.in

As our HUF firm wishes to open an account with you in the said name _____ We beg to say that the first signatory to this letter i.e. _____ is the karta of the joint family and other signatories are the adult co-parceners of the said family. We authorize the KARTA to sign Account Opening Form and other KYC documents for opening and operating the said account.

We further confirm that the dealing in shares and securities of the said joint family is carried on mainly by the said karta as also by the other signatories here to in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the karta, including the share of minor co-parceners.

In view of the fact that ours is not a firm governed by the Indian partnership Act 1952. We have not got our said firm registered under the said Act.

We hereby undertake to inform you of the death or birth of a co-parcener of any change occurring at any time in the membership of our joint family during the currency of the account.

Name & Signature of adult co-parceners (use Annexure for additional Members)

Sr. No.	Name of Adult Co-parceners	Signature of Adult Co-parceners	Relation
1.			
2.			
3.			
4.			

Name & Date of Birth of Minor co-parceners (use Annexure for additional Members)

Sr. No.	Name of Minor Co-parceners	Date of Birth of Minor Co-parceners							
1.		D	D	M	M	Y	Y	Y	Y
2.		D	D	M	M	Y	Y	Y	Y
3.		D	D	M	M	Y	Y	Y	Y
4.		D	D	M	M	Y	Y	Y	Y

Name of Karta _____

Signature of Karta _____ 13

घोषणा

मैं यह घोषणा करता/करती हूँ मैंने एशियाटिक में अपना शेयर ट्रेडिंग (सीएम/एफओ/सीडीएस) का खाता खोला है। उसके लिए एकाउन्ट ओपनिंग फॉर्म (के.वाई.सी.) और विभिन्न कागजातों पर हस्ताक्षर किया है जोकि अंग्रेजी भाषा में है। मुझे इसका हिन्दी में मतलब समझा दिया गया है। मैं एशियाटिक के नियम व शर्तों से सहमत हूँ। मुझे के.वाई.सी. फॉर्म की कॉपी, अनुच्छेद 4,5,6 सहित मिल गई है।

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This Algorithmic Trading Agreement ("**Agreement**") is entered into this _____ day of _____ **20__** ("**Effective Date**") Between **ASIATIC STOCK & SECURITIES LIMITED**, a company incorporated under the Companies Act, 1956 having its registered office at II C/112, Sector-2, Noida-201301 (hereinafter referred to as the "**ASSL**" or "**Stock Broker**" (which expression shall unless repugnant to the context mean and include its successors-in-interest and assigns) of the One Part;

AND

Mr./Ms. Mrs. _____

(i) in case of the **Individual** S/o. D/o Mr r/o _____

(ii) in the case of a **Company**, incorporated under the provision of the Companies Act, 1956/2013, having its Registered Office at : _____

(iii) in the case of a **Partnership firm** within the meaning of the Indian Partnership Act, 1932, any or each of the partners and survivor/s of them and partners from time to time (both their personal capacity and as partners of the firm) having their office at : _____

(iv) in the case of Proprietary concern, the proprietor (both in his / her personal capacity and as proprietor / proprietress of the concern) having their Office at : _____

(v) in the case of a Joint HUF, the Karta of the joint HUF and any or each of the adult members / coparceners of the joint HUF having its address at : _____

(vi) in the case of Trust, the trust / trustee/s for the time being, having their Office at : _____

(vii) in case of an LLP, the designated partner of the LLP for the time being and from time to time having their registered officer at : _____

hereinafter referred to as the "**Client**", which expression shall, unless repugnant to the meaning and context include and mean their legal heirs, legal representatives, successors, assigns, representatives, nominees, administrators, permitted assigns etc. as the Case may be, being the Party of the Other Part; (The Stock Broker and Client are hereinafter collectively referred to as "**Parties**" and individually also as "**Party**").

WHEREAS: Asiatic Stock & Securities Limited is registered as a Stock broker with Securities and Exchange Board of India ("SEBI") under the SEBI (Stock Brokers and Sub-brokers) Regulations 1992 with Single SEBI Registration No INZ000166538 and having Membership of NSE (National Stock Exchange of India Limited) in the Capital Market Segment & Equities Derivative Segment.

1. ASSL has obtained an approval from the National Stock Exchange of India Limited (hereinafter called as the "Exchanges") for specific Algo Strategies and that Algo Strategy can be extended for the usage of clients; ASSL has the requisite procedures, systems, capability and wherewithal in place to provide facility of Algorithmic Trading to their clients. Algorithmic trading means any order that is generated using automated execution logic through the trading member front end.
2. Client is an existing client of ASSL having Client Code No. _____ and is desirous of trading in those securities/contracts/other instruments using Specific Algorithmic Strategy(ies) (List of strategies as per Annexure 1) admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of the Exchanges and circulars issued thereunder from time to time.
3. Client has inter-a/ia executed member-client agreement (as the case may be) and relevant documents of Trading Policies and Procedures, including combined Risk Disclosure Documents

and Rights and Obligations, as prescribed by the Securities and Exchange Board of India (SEBI) and Stock Exchange and all the requisite documents and provided other required information and documents including KYC Documents like the Individual Client Registration Form etc. while opening the above Trading Account with the Applicant for the purpose of trading in NSE in the Capital Market Segment, Future & Options Segment (hereinafter referred to as "KYC and Trading Documents").

4. Client acknowledges and covenants that the present Agreement for Algorithmic Trading is in addition to the above KYC and Trading Documents and shall not supersede KYC and Trading Documents. In the event of any disputes as regards to interpretation of any terms of this Agreement and KYC and Trading Documents, the terms of KYC and Trading Documents shall supersede.
5. Based on the representations made by ASSL as to its capacity to deal in securities in NSE by way of Algorithmic Trading using the specific Algorithmic Strategy (ies) the Client wishes to execute its orders by way of Algorithmic Trading using the specific Algorithmic Strategy (ies) through the ASSL on the Exchange.
6. ASSL and the Client agree to be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder and Rules and Regulations of SEBI and circulars issued thereunder and relevant notifications of Government authorities as may be in force from time to time.
7. The Parties are desirous of recording the understanding and agreement between them in relation to the above referred Algorithmic trading on the term and conditions hereinafter mentioned.

NOW THEREFORE THIS AGREEMENT WITNESSETH AS FOLLOWS:

1. ASSL declares that it has brought the contents of the risks associated with each Algorithmic Strategy (ies) to the notice of Client made him aware of the significance of the Algorithmic Trading and the execution of the trade orders by using the specific Algorithmic Strategy (ies) through ASSL on the Exchanges. The Client agrees and acknowledges that:
 - a) Client has read and understands the risks involved in each Algorithmic Strategy (ies) as specifically referred below. These have been mentioned below in point 2.
 - b) Client shall be wholly responsible for all his investment decisions and trades by using the specific Algorithmic Strategy (ies).
 - c) The failure of the Client to understand the risk involved in each Algorithmic Strategy (ies) shall not render a contract as void or voidable and the Client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the Client chose to trade.
2. The Client unconditionally and irrevocably agrees and accepts that the Client shall at all times be responsible for any losses, damages, costs, penalties or any other cost incurred by the Client or ASSL as a result of availing/using specific Algorithmic Strategy(ies) due to any reason whatsoever including but not limited to:
 - a) Failure of the Algorithmic strategy i.e. dysfunction or any kind of bug or virus in the Algorithmic code (including but not limited to wrong side orders, wrong strategy execute, excess quantity execution i.e. double execution or Algorithmic loop).
 - b) Any execution slippages, failure to receive the feeds from the Exchanges or any failure in the

execution due to exchanges approvals.

- c) Failure to provide technology update required for platform functioning (for example java needs update, NET framework update, Algorithm update etc.) or failure to update the order execution messages from the Exchange.
 - d) Feeds received by the Client are far delayed or incorrect or any OMS/RMS failure.
 - e) Failure of the leased lines (Client to Broker), Exchange connectivity failure and/or any hardware failure.
 - f) Any loss caused due to any information or any risk associated with the Algorithmic Trading Facility not known to the Client.
 - g) Any unauthorized access to the Client's account or the Client is barred from trading or dealing with such using the specific Algorithmic Strategy (ies) by the Exchanges or the Client being bankrupt.
 - h) Any malfunctioning while using the specific Algorithmic Strategy (ies) relating to limits, margins/adhoc margins, order quantity, scrip, contract group etc.
 - i) Any order placed by the Client in breach of the price bands as defined by the Exchange, in breach of the quantity limits as defined by the Exchange for the Securities, in breach of the value as per order as defined by the Exchange.
 - j) Any loss and expenses of any nature caused in relation to any penalty or proceedings awarded against ASSL or Client.
 - k) Any failure in execution of using the specific Algorithmic Strategy (ies) due to a switch from one feed to another feed and incorrect working of Index Arbitrage algorithm.
 - l) Any error because of some overflow in one of the arithmetic computation on for order quantity or
 - m) Any erroneous orders placed by the Client or any network failure, software applications issues or hardware failure.
 - n) Removal of any outstanding order/s from system by the Exchanges or any other statutory authority or advice to shut down any identified Algo Strategy.
 - o) Any losses incurred due to any action taken by the Exchange and / or ASSL due to extreme market movement or Exchanges failure.
 - p) Any discrepancy, error or limitation arising while adhering the changes in regulations, guidelines as specified by the Exchange / SEBI.
3. The Client agrees to abide by the exposure limits, if any, in the Algorithmic logic/program set by ASSL or by the Exchange or Clearing Corporation or SEBI from time to time.
 4. The Client shall not make any modification in code, design or any other feature of the Algorithmic Strategy.
 5. The instructions issued by an authorized representative, if any, of the Client shall be binding on the Client in accordance with the letter authorizing the said representative to deal on behalf of the said client.

6. The Client agrees to pay to ASSL the brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions arising to the Algorithmic Trading services that ASSL extends to the Client. The ASSL unconditionally agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the Exchange/SEBI.
7. The Client agrees that where the Exchanges cancels Algorithm trade(s) suo moto all such trades including the trade/s done by Client or on behalf of the Client shall ipso facto stand cancelled.
8. The Client states that the Client shall be solely liable and/or responsible for any claims/suits /complaints/demands/damages/charges/fines etc. of whatsoever nature relating to any alleged deficiency in using the specific Algorithmic Strategy (ies) or codes/programs and breach of any laws by the Client relating to the using the specific Algorithmic Strategy (ies) provided by ASSL. The Client shall be responsible, liable and accountable for payment of any penalties, costs or expenses of any nature that are awarded against ASSL in this regard. In addition, the Client shall also be solely responsible, liable and accountable for all expenses that are incurred by ASSL in relation to any penalty or proceeding brought against ASSL.
9. All acts of omission and commission of the Client shall be deemed to be of the Client and the Client shall be responsible for all its actions. The Client shall not raise any claims of whatsoever nature against Stock Broker by reason of availing this specific Algorithmic Strategy (ies) using the Algorithmic Trading Facility and the Client shall always be responsible for availing the specific Algorithmic Strategy (ies) being provided to the Client by ASSL and ASSL shall not at any times be responsible for any using the specific Algorithmic Strategy (ies) offered by it.
10. The Client shall, indemnify and keep indemnified, defend and hold harmless ASSL and its officers, directors, employees, representatives, agent's respective directors, and assigns from and against any liability claims or any other that may occur, arising from or as a result of availing / using specific Algorithmic Strategy (ies) provided by ASSL under the terms of this Agreement, due to any reasons whatsoever, including but not limited to all the events as stated above in Clause 1 and 2 hereinabove to be subject to due to any deficiency in the Facilities provided by ASSL.
11. This Agreement shall be in force and effect from the Effective Date and shall continue to exist till the time the Client ceases to have a trading account with ASSL or the Client may by giving a prior 30 days' notice terminate this Agreement and stop availing the specific Algorithmic Strategy (ies).
12. ASSL is entitled to terminate this Agreement forthwith, at its sole discretion, without assigning any reasons to the Client, if the Client fails to strictly adhere the terms of this Agreement. This Agreement shall also forthwith stand terminated
 - a) If the Client for any reason ceases to have an account with ASSL or is debarred from extending the using the specific Algorithmic Strategy (ies);
 - b) upon the demise/insolvency of the Client.
 - c) the Exchange or any other regulatory authority terminates or withdraw the approval given by the Exchange for Algo Strategies / Algorithmic Trading.
13. Notwithstanding any such termination, all rights, liabilities and obligations of the Parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in /be binding on the respective Parties or his / its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

14. In addition to the specific rights set out in this Agreement ASSLand the Client shall be entitled to exercise any other rights which ASSL or the Client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued thereunder or Rules and Regulations of SEBI or the terms and conditions of trading facilities provided by the ASSL.
15. The Parties shall keep confidential all information pursuant to this Agreement and save and except which may be required to be disclosed under law or on need to know basis. The disclosing Party shall inform the other concerned Party of receipt of any such communication/notice/intimation requiring such disclosure within reasonable time to enable the other Party to take appropriate action, if required.
16. Neither Party shall be liable for any failure to perform any of its obligations under this Agreement if the performance is prevented, hindered or delayed by a Force Majeure Event (defined below) and in such case its obligations shall be suspended for so long as the Force Majeure Event continues. Each Party shall promptly inform the other of the existence of a Force Majeure Event and shall consult together to find a mutually acceptable solution. "Force Majeure Event" means any event due to any cause beyond the reasonable control of Parties, including, without limitation, unavailability of any communication system, breach or virus in the processes, sabotage, fire, flood, explosion, acts of God, Civil commotion, strikes or industrial action of any kind, riots, insurrection, war, acts of government, computer hacking unauthorized access to computer data and storage devices, computer crashes, etc.
17. This Agreement shall be governed by the laws in India and the courts in Delhi shall have exclusive jurisdiction over matters relating to or arising out of this Agreement. Any disputes between the Parties in respect of any claim, difference and/or contravention of terms of this Agreement or otherwise (other than those which are subject to the Exchange Rules, Bye-laws and Regulations and governed by the arbitration provided there under) shall be referred to a sole arbitrator appointed mutually by the Parties. Each Party will bear the cost of the arbitrator so engaged by the Parties equally. The arbitration shall be conducted in accordance with the provisions of the Arbitration and Conciliation Act 1996 as applicable from time to time including any statutory amendment or re-enactments thereof. The arbitration proceedings shall be conducted in English language and the venue of arbitration shall be Delhi. Each Party irrevocably waives any objection it may have at any time to the laying of the venue of arbitration. The Parties shall bear their own legal fees.
18. The Agreement shall not be altered, amended and/or modified by the Parties in a manner that shall be in a contravention of any other provisions of this Agreement. Provided however, 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 Exchange or any other statutory enactment, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this Agreement.
19. The provisions of this agreement and the transactions executed on the Exchange are subject to and shall always be subject to Government notifications, any rules, regulations, guidelines and Circulars issued by SEBI along with Rules, Regulations and Bye laws of the relevant stock exchanges that may be in force from time to time. ASSL and Client hereby declare and agree that the Rules, Byelaws, Regulations and circulars issued by the Exchange and SEBI shall be applicable to them including all such Parties for whom such trade shall have submitted to the jurisdiction of court or dispute resolution mechanism as may be specified by the Rules, Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars issued thereunder.
20. If any provision of this Agreement is agreed by the parties to be illegal, void or unenforceable under any law that is applicable hereto or if any court of competent jurisdiction in a final

decision so determines, this Agreement shall continue in force save that such provision shall be deemed to be deleted here from with effect from the date of such agreement or decision or such earlier date as the Parties may agree.

21. A failure by either Party to exercise or enforce any rights conferred upon it by this Agreement shall not be deemed to be a waiver of any such rights or operate so as to bar the exercise or enforcement thereof at any subsequent time or times.
22. This Agreement along with KYC and Trading Documents constitutes complete agreement for the purpose of Algorithmic Trading.
23. The Client should carefully consider whether such Member -ASSL's ATS/ALGO/ATF is suitable for client in the light of his/her financial condition or otherwise. In case client trades and suffers adverse consequences or loss, client shall be solely responsible for the same and ASSL/Exchange/ and /or SEBI shall not be responsible in any manner whatsoever for the same. The client shall be solely responsible for the consequences and no contract can be rescinded on this account. The client is hereby informed and duly acknowledges and accepts by using ASSL's ATS/ALGO /ATF that there can be no guarantee of profits or no exception from losses while executing orders by using the ATS/ALGO/ATF. All trades are subject to market risk and are to the account of the client.
24. High volume trading will frequently occur at the market opening and before market close. Such high volumes may occur at any point in the day. These may cause delay in order execution or confirmation.
25. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder.

IN WITNESS WHEREOF, the Parties hereto have set their hands and signatures on the _____ day of _____ 20____

Signed for and on behalf of **Asiatic Stock & Securities Limited**
Director/Authorized Representative

Witness:

1.

Signed for and on behalf of the **Client**

Name:

Authorized Representative:

Witness

1.

2.

ALGO STRATEGIES — Annexure 1

***SYMPHONY ALGO STRATEGIES**

- Blitz Cover Order
- Blitz Jobex
- Blitz Smart Executor
- Blitz Candle Breakout
- Blitz Multileg Executor
- Blitz Trend Trader
- Blitz Master Scalping
- Presto Smart Jobbing
- Presto Smart Executor

***SYMPHONY TRADING TERMINAL**

- XTS WITH API

***GREEK SOFT**

- IV-ITM Order entry with Delta Hedging
- IV Based Spread Order with Delta Hedging
- Option Strategy : Spread
- Option Strategy Triangle
- Option Strategy : Butterfly
- Box Strategy – 4 Leg
- Dynamic Delta Hedging
- GETS – Automated Arbitrage-Future To Future
- GETS – Automated Arbitrage-Cash To Future
- GETS : Automated Arbitrage-Pair Trading
- GETS : Combine Spread Arbitrage
- Greek Market Making
- Jobbing Strategy
- Slice Order Entry
- Greek Execution Algo Strategy
- Greek Trend Trader
- Greek Technical Trend Trader (GTT)-Greek Bracket OrderEntry_Trimmed _TBT Multicast_Linux
- Greek Technical Trend Trader (GTT)-Greek Non Bracket Order Entry_Trimmed_TBT Multicast_Linux
- GETS : Automated Arbitrage – Pair Trading
- Cross Butterfly
- GETS : Basket Automated Arbitrage

{Please tick whichever is opted}



NOMINATION (For Trading Account)

☐

I/We wish to make nomination.

(As per details given below)

☐

I/We do not wish to make nomination.

(Strike off the nomination details below)

NOMINATION DETAILS

I/We wish to make a nomination and do hereby nominate the following person in whom all right and/or amount payable in respect of securities/funds held in the Trading Account by me/us in the event of my/our death.

1	Name of the Nominee		
2	Relation with the Applicant (if any)		
3	Address of Nominee	Pin Code <input type="text"/>	
4	Mobile/Telephone No. of Nominee		
5	Email ID of the Nominee		
6	Nominee Identification Details (Please tick any one of following and provide details of same)		
	<input type="checkbox"/> Photograph & Signature		
	<input type="checkbox"/> Pan		
	<input type="checkbox"/> Aadhar		
	<input type="checkbox"/> Saving Bank Account No.		
	<input type="checkbox"/> Proof of Identity		
	<input type="checkbox"/> Demat Account Id		
Should be filled only if nominee is a minor :			
7	Date of Birth (in case of minor nominee)		
8	Name of Guardian (in case of minor nominee)		
9	Address of Guardian	Pin Code <input type="text"/>	
10	Mobile/Telephone No. of Guardian		
11	Email ID of Guardian		
12	Relationship of Guardian with nominee		
13	Guardian Identification details (Please tick any one of following and provide details of same)		
	<input type="checkbox"/> Photograph & Signature		
	<input type="checkbox"/> Pan		
	<input type="checkbox"/> Aadhar		
	<input type="checkbox"/> Saving Bank Account No.		
	<input type="checkbox"/> Proof of Identity		
	<input type="checkbox"/> Demat Account Id		
Signature of one Witness for nomination			
a)	Name of Witness	Address	Signature of Witness with Date
Signature Trading Account Holder			
	Client Code	Client Name	Client Signature

LETTER OF AUTHORITY TO MAINTAIN ADEQUATE DERIVATIVES MARGINS

Date:

Client Code :

To,
M/s. Asiatic Stock & Securities Ltd.,
205-206, Sita Ram Mansion,
718, Joshi Raod, Karol Bagh,
New Delhi - 110005

SUBJECT: LETTER OF AUTHORITY

Dear Sir,

I/We _____ S/o / D/o / W/o
_____ Aged _____ years at present residing at
_____ do

hereby authorizing and constitute, M/s Asiatic Stock & Securities Ltd, Member of National Stock Exchange of India Limited (NSEIL), in my/our name and on my/our behalf to do or execute all things hereinafter mentioned.

I have opened a trading account with ASSL, and I intend to trade / deal on a regular/specific occasion basis in cash/derivatives / currency derivatives segment of the National Stock Exchange of India Limited.

Whereas I/We purchase/hold, securities of various companies in my trading account- _____ with M/s Asiatic Stock & Securities Ltd. I authorize ASSL to hold my securities received in the payout in your Pool / Beneficiary account. And I/We do hereby execute the specific authorization to the said M/s Asiatic Stock & Securities Ltd. to transfer securities to their Margins account to meet my existing and future derivatives segments Margins obligations with you as calculated in the manner specified by the SEBI/exchanges from time to time.

Warm regards,

Your`s faithfully,

(Name)

Pan -

To,
Asiatic Stock & Securities Ltd.,
205-206, Sitaram Mansion,
718 Joshi Road, Karol Bagh,
New Delhi - 11001

Sub : Consent Letter from Client

The client shall not have any claim against the exchange or the stockbroker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems on non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reasons.

Thanking you,

Your's Sincerely

Signature
(Client Name)

FATCA & CRS DECLARATION (FOR INDIVIDUAL)

Do you have any non-indian Country(ies) of Birth / Citizenship / Nationality and Tax Residency? ☐ Yes ☐ No


Sole/First Holder/Guardian <input type="checkbox"/> Yes <input type="checkbox"/> No		Second Holder <input type="checkbox"/> Yes <input type="checkbox"/> No		Third Holder <input type="checkbox"/> Yes <input type="checkbox"/> No	
Country of Birth		Country of Birth		Country of Birth	
Country of Citizenship/ Nationality		Country of Citizenship/ Nationality		Country of Citizenship/ Nationality	
Are you a US Specified Person? <input type="checkbox"/> Yes <input type="checkbox"/> No Please provide Tax Payer Id		Are you a US Specified Person? <input type="checkbox"/> Yes <input type="checkbox"/> No Please provide Tax Payer Id		Are you a US Specified Person? <input type="checkbox"/> Yes <input type="checkbox"/> No Please provide Tax Payer Id	
Country of Tax Residency* (Other then India)	Taxpayer Identification No.	Country of Tax Residency* (Other then India)	Taxpayer Identification No.	Country of Tax Residency* (Other then India)	Taxpayer Identification No.
1.		1.		1.	
2.		2.		2.	
3.		3.		3.	


*Please indicate all countries in which you are a resident for tax purpose and associated Taxpayer identification number.


FATCA - CRS Terms and Conditions

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform **Asiatic Stock & Securities Ltd.** for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Signatures  D 5.1
First Holder

 D 5.2
Second Holder

 D 5.3
Third holder

----- Tere Here -----

Acknowledgment Participant Name, Address

Received the application from Mr/Ms _____ as the sole/first holder alongwith
_____ and _____ as the second and third holders respectively for
opening of a depository account. Please quote the DP ID & Client ID allotted to you in all your future correspondence.

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Participant Stamp & Signature



MEMBER OF NATIONAL STOCK EXCHANGE
ONLINE SHARE TRADING IN CAPITAL & F&O SEGMENT OF NSE

FUTURE & OPTIONS SPECIALIST

WEALTH CREATORS

CORPORATE OFFICE :

205-206, Sita Ram Mansion, 718, Joshi Road, Karol Bagh, New Delhi-110005

Telephone No. : 011-4154-5955/56/57/58, 23554225/6/7, 2363 3955

E-mail : asiaticstock@gmail.com | Website : www.asiaticstock.in