

## ACCOUNT OPENING KIT

**Name of Stock Broker / Trading Member / Clearing Member / Depository Participant :**  
**ELBEE SECURITIES PVT. LTD.**

**SEBI Registration No. and Date :**

	<b>Regn. No.</b>	<b>Date</b>
<b>NSE</b>	INZ000199535	12.09.2018
<b>BSE</b>	INZ000199535	12.09.2018
<b>NSDL</b>	IN-DP-86-2015	22.06.2015

**Other details:**

<b>NSE TM ID</b>	07951
<b>BSE TM ID</b>	6212
<b>NSDL DP ID</b>	IN303841
<b>CIN</b>	U67120WB1994PTC065287
<b>AMFI ARN</b>	7369

**Registered & Correspondence Office Address :**

19, R.N. Mukherjee Road, 2<sup>nd</sup> Floor, Eastern Building, Kolkata – 700001

Ph.: (033) 2262-3066, Fax: (033) 2242-0959

Email: manishelbee@yahoo.com

**Compliance Officer Name, Phone No. & Email ID:**

Mr. Manish Agarwal, (033) 2262 – 3066, manishelbee@yahoo.com

For any grievance/dispute, please contact Elbee Securities Private Limited at the above address or send us an email at our Investor Grievance Email ID elbeesec1@rediffmail.com or call us on (033) 2262-3066

In case you are not satisfied with the response, please contact the concerned Exchange(s):

National Stock Exchange of India Ltd.	ignse@nse.co.in	(022) 2659-8190
BSE Limited	is@bseindia.com	(022) 2272-8097
Securities and Exchange Board of India	investorcomplaints@sebi.gov.in	(022) 2644-9000
National Securities Depository Ltd.	relations@nsdl.co.in	(022) 2499-4200

Disclosure of Proprietary trading pursuant to SEBI Circular No. : SEBI/MRD/SE/Cir-42/2003 dated 19<sup>th</sup> Nov'2003, NSE Circular No. : NSE/INVG/PRE/2003.16 dated 25<sup>th</sup> Nov'2003 and BSE Notice No. 20031125-7 dated 25<sup>th</sup> Nov'2003:

We, Elbee Securities Pvt. Ltd., are also engaged in Proprietary trading apart from Client based business.

I/We have fully understood the distinction and details regarding the Mandatory & Voluntary documents and do hereby enter and sign the same and agree not to call into question the validity, enforceability and applicability of any voluntary agreement(s)/document(s) or clauses within any voluntary/optional agreement(s)/document(s) under any circumstance whatsoever.

\_\_\_\_\_  
Signature of the Client

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### MANDATORY DOCUMENT AS PRESCRIBED BY SEBI AND EXCHANGES (*provided separately*)

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3.	Risk Disclosure Document (RDD)
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## PART I – KNOW YOUR CLIENT (KYC) APPLICATION FORM (FOR NON INDIVIDUALS)

Please fill the form in **ENGLISH** and in **BLOCK** letters with **BLACK** ink

A. IDENTITY DETAILS																		
1	Name of Applicant											<b>PHOTOGRAPH</b>  Please affix your recent passport size photograph and sign across it						
2	Date of Incorporation	D	D	M	M	Y	Y	Y	Y									
3	Place of Incorporation																	
4	Date of Commencement Of Business	D	D	M	M	Y	Y	Y	Y									
5	PAN																	
6	Regn. No. (e.g. CIN)																	
7	Status (Please tick any one)	<div style="display: flex; flex-wrap: wrap;"> <div style="width: 50%;"><input type="checkbox"/> Private Ltd Co.</div> <div style="width: 50%;"><input type="checkbox"/> NGO</div> <div style="width: 50%;"><input type="checkbox"/> Bank</div> <div style="width: 50%;"><input type="checkbox"/> AOP</div> <div style="width: 50%;"><input type="checkbox"/> Public Ltd Co.</div> <div style="width: 50%;"><input type="checkbox"/> Society</div> <div style="width: 50%;"><input type="checkbox"/> LLP</div> <div style="width: 50%;"><input type="checkbox"/> BOI</div> <div style="width: 50%;"><input type="checkbox"/> Partnership</div> <div style="width: 50%;"><input type="checkbox"/> Trust</div> <div style="width: 50%;"><input type="checkbox"/> FII</div> <div style="width: 50%;"><input type="checkbox"/> Govt. Body</div> <div style="width: 50%;"><input type="checkbox"/> Defense Estb.</div> <div style="width: 50%;"><input type="checkbox"/> FI</div> <div style="width: 50%;"><input type="checkbox"/> HUF</div> <div style="width: 50%;"><input type="checkbox"/> Charities</div> <div style="width: 100%;"><input type="checkbox"/> Others (please specify) _____</div> </div>																
B. ADDRESS DETAILS																		
1	Correspondence Address																	
		City/Town/Village					Pin Code											
		State					Country											
2	Specify the Proof of Address submitted for Correspondence Address																	
3	Contact Details	Tel. (Off.)					Mobile No.											
		Tel. (Res.)					Fax No.											
		Email ID																
4	Registered Address (If different from above)																	
		City/Town/Village					Pin Code											
		State					Country											
5	Specify the Proof of Address submitted for Registered Address																	
C. OTHER DETAILS (Details of all Promoters/ Partners/ Karta/ Trustees and Whole Time Directors) (Please attach additional pages if required)																		
I																		
1	Name											<b>PHOTOGRAPH</b>  Please affix your recent passport size photograph and sign across it						
2	Relationship with Applicant (i.e. Promoter, Whole Time Director etc.)																	
3	Date of Birth	D	D	M	M	Y	Y	Y	Y									
4	Residential/ Registered Address																	
5	Tel. / Mobile No.																	
6	Email ID																	
7	PAN																	
8	DIN (Whole Time Directors)/ Aadhaar Number (Promoters/ Partners/ Karta)																	
9	Equity % (PSR Ownership Stake)																	
10	Specify the Identity Proof submitted																	
11	Specify the Address Proof submitted																	

**C. OTHER DETAILS (Details of Promoters/ Karta/ Trustees and Whole Time Directors forming a part of KYC Application Form)**
**II**

1	Name										
2	Relationship with Applicant (i.e. Promoter, Whole Time Director etc.)										
3	Date of Birth	D	D	M	M	Y	Y	Y	Y		
4	Residential/ Registered Address										
5	Tel. / Mobile No.										
6	Email ID										
7	PAN										
8	DIN (Whole Time Directors)/ Aadhaar Number (Promoters/ Partners/ Karta)										
9	Equity % (PSR Ownership Stake)										
10	Specify the Identity Proof submitted										
11	Specify the Address Proof submitted										

**PHOTOGRAPH**

Please affix your recent passport size photograph and sign across it

**III**

1	Name										
2	Relationship with Applicant (i.e. Promoter, Whole Time Director etc.)										
3	Date of Birth	D	D	M	M	Y	Y	Y	Y		
4	Residential/ Registered Address										
5	Tel. / Mobile No.										
6	Email ID										
7	PAN										
8	DIN (Whole Time Directors)/ Aadhaar Number (Promoters/ Partners/ Karta)										
9	Equity % (PSR Ownership Stake)										
10	Specify the Identity Proof submitted										
11	Specify the Address Proof submitted										

**PHOTOGRAPH**

Please affix your recent passport size photograph and sign across it

**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/we am/are aware that I/we may be held liable for it.

Name and Signature of the Authorised Signatory(ies)

Date

D D M M Y Y Y Y

**FOR OFFICE USE ONLY**
☐ Originals Verified & Self Attested Document Copies Received

IPV Details	D	D	M	M	Y	Y	Y	Y	Name of Authorised Signatory	Seal/ Stamp of Intermediary
Name of Employee doing IPV									Signature of Authorised Signatory	
Signature of Employee doing IPV									Designation of Authorised Signatory	
Designation of Employee doing IPV									Date	



## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS

1. Self - attested copy of PAN card is mandatory for all clients, Including Promoters/Partners /Karta /Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities and authorized for attesting the documents, as per the below mentioned list:
  - Notary Public, Gazetted officer, Manager of a scheduled Commercial/ co-operative Banks or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
  - 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.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name and address of the applicant mentioned on the KYC form should match with the documentary proof submitted.
5. If correspondence and permanent addresses are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For foreign entities, CIN is optional, and in the absence of DIN No. for the directors, their passport copy should be given.
8. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
9. 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.
10. 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 Governments/ 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 Undertaking, Scheduled Commercial Banks, Public Financial Institutions, Collage 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 Document admissible as Proof of Address (Document 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/UID (Aadhaar).
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 Bank /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 Undertaking, Scheduled Commercial Banks, Public Financial Institutions, Collage affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc.
7. For FII /sub account, Power of Attorney given by FII /Sub- account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted

### D. EXEMPTION/CLARIFICATION 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 up to Rs 50,000/- p.a.
5. In case if 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 Institutions 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. IN CASE OF NON-INDIVIDUALS, ADDITIONAL DOCUMENTS TO BE OBTAINED OTHER THAN POA & POI, AS MENTIONED BELOW:**

<b>Corporate</b>	<ul style="list-style-type: none"> <li>• Copy of the Balance Sheets for the last 2 financial years (to be submitted every year)</li> <li>• Copy of latest 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/Whole Time director/MD (to be submitted every year)</li> <li>• Photographs, POI, POA, PAN, and DIN numbers of Whole Time Directors/two directors in charge of day to day operations</li> <li>• Copies of the Memorandum of Association and Certificate of Incorporation</li> <li>• Copy of the Board Resolution for investment in securities market</li> <li>• Authorised signatories list with specimen signature</li> </ul>
<b>Partnership Firm</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• Certificate of registration (for registered partnership firms only)</li> <li>• Copy of partnership deed</li> <li>• Authorised signatories list with specimen signatures</li> <li>• Photograph, POI, POA, PAN of Partners</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• Certificate of registration (for registered Trust only)</li> <li>• Copy of Trust deed</li> <li>• List of trustees certified by managing trustee/CA</li> <li>• Photograph, POI, POA, PAN of Trustees</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>• PAN of HUF</li> <li>• Deed of declaration of HUF/List of coparceners</li> <li>• Bank passbook/bank statement in the name of the HUF</li> <li>• Photograph, POI, POA, PAN of Karta</li> </ul>
<b>Unincorporated Association or a body of individuals</b>	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf</li> <li>• Authorised signatories list with specimen signature</li> </ul>
<b>Banks/Institutional Investors</b>	<ul style="list-style-type: none"> <li>• Copy of the Constitution/registration or annual report/balance sheet for the last 2 financial years</li> <li>• Authorised signatories list with specimen signature</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate</li> <li>• Authorised signatories list with specimen signature</li> </ul>
<b>Army/Government Bodies</b>	<ul style="list-style-type: none"> <li>• Self-certification on letterhead</li> <li>• Authorised signatories list with specimen signature</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>• Copy of registration Certificate under Societies Registration Act</li> <li>• List of Managing Committee members</li> <li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary</li> </ul>

## LIST OF DOCUMENTS REQUIRED FOR TRADING AND DEMAT ACCOUNT

In addition to the Proof Of Address & Proof Of Identity, as specified in the Instructions for filling the KYC form, the following documents are required for the **Trading and Demat Account**:

1. A self attested copy of the PAN Card is mandatory for all clients
2. Additional documents in case of trading in derivatives segments:
  - Copy of ITR acknowledgement
  - Copy of Annual Accounts
  - In case if salary income - Salary Slip, Copy of Form 16
  - Net worth certificate
  - Copy of demat account holding statement
  - Bank account statement for last 6 months
  - Self-declaration with relevant supporting documents
  - Any other relevant documents substantiating ownership of Assets
3. For clients who are not trading in the derivatives segments, documents as per risk management policy of the stock broker needs to be provided by the client from time to time.
4. A cancelled cheque leaf or a copy of the pass book statement specifying name of the constituent, MICR code and IFSC code of the bank
5. A copy of the demat master/ recent holding statement issued by depository participant (DP) bearing name of the client.
6. 1 passport size photograph
7. (i) 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.(ii) For Non-Individuals:
  - Form needs to be initialized by all the authorized signatories.
  - Copy of Board Resolution or declaration (on the letterhead) naming the person authorized to deal in securities on behalf of company/others & their specimen signatures.
8. 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.

## PART II – TRADING ACCOUNT OPENING FORM (FOR NON INDIVIDUALS)

Please fill the form in **ENGLISH** and in **BLOCK** letters with **BLACK** ink

A. BANK ACCOUNT DETAILS																				
Bank Account Type	<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (please specify) _____																			
Bank Account Number																				
Bank Name																				
Branch Address																				
	City/Town/Village					Pin Code														
	State					Country														
IFSC											MICR									
B. DEPOSITORY ACCOUNT DETAILS																				
Depository Participant Name																				
CDSL / NSDL	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL																			
Depository Participant ID											Beneficiary ID									
Name of Sole/First Holder																				
Name of Second Holder																				
Name of Third Holder																				
C. TRADING PREFERENCES																				
(Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you)																				
<b>Exchanges</b>					<b>NSE, BSE</b>															
<b>All Segments</b>					<b>Cash / Mutual Fund</b>					<b>F&amp;O</b>										
If you do not wish to trade in any of the segments / mutual fund, please mention here _____																				
(If in future the Client wishes to trade on any new segment / exchange, a separate authorization letter should be submitted by the client to ESPL)																				
D. 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/Authorised Persons in charge of dealing in securities during the last 3 years _____																				
E. DEALINGS THROUGH SUB – BROKERS AND OTHER STOCK BROKERS																				
If the Client is dealing through the sub – broker, please provide the following details:																				
Sub – Broker's Name					SEBI Regn. No.															
Registered Office Address																				
Phone No.					Fax															
Website																				
If the Client is dealing with any other stock broker, please provide the following details (In case of dealings with multiple stock brokers/sub – brokers, please provide the details of all)																				
Name of Stock Broker					Client Code															
Name of Sub – Broker, if any					Exchange															
Details of Disputes/ Dues Pending from/ to such Stock broker/ Sub – Broker																				
F. ADDITIONAL DETAILS																				
Whether you wish to receive	<input type="checkbox"/> Physical Contract Note <input type="checkbox"/> Electronic Contract Note																			
Specify your Email ID																				
Number of years of investment/trading experience																				
Are you a member of any Stock Exchange?					<input type="checkbox"/> Yes*		<input type="checkbox"/> No		*Please Specify											

**G. INTRODUCER DETAILS (OPTIONAL)**

	Name of the Introducer							
	Status of the Introducer	<input type="checkbox"/> Sub – Broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorised Person						
		<input type="checkbox"/> Employee <input type="checkbox"/> Existing Client <input type="checkbox"/> Others (please specify) _____						
	Address Details							
	Mobile/ Phone No.				Email ID			
Signature of the Introducer								

**H. INCOME DETAILS**

(i)	Income range (in Rs.) per annum (please specify)									
	<input type="checkbox"/> Below 20 Lacs <input type="checkbox"/> 20 – 50 Lacs									
	<input type="checkbox"/> 50 Lacs – 1 Crore <input type="checkbox"/> Above 1 Crore									
	Networth Amount (Rs.)									
	As on Date	D	D	M	M	Y	Y	Y	Y	(Networth should not be older than 1 year)
(ii)	Please tick, if applicable, for any of your Authorised Signatories/ Promoters/ Partners/ Karta/ Trustees/ Whole Time Directors					<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)				
(iii)	Any other information									

**DECLARATION**

- I/ We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/ we am/are aware that I/we may be held liable for it.
- I/ We confirm having read/ been explained and understood the contents of the documents on policy and procedures of the stock and the tariff sheet.
- 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.

Date		Signature of Client
Place		

**TARIFF STRUCTURE FOR TRADING ACCOUNT**

S No	Particulars	Brokerage/ Charges (₹)	Minimum Charge (₹)
1	Equity Intraday		
2	Equity Delivery		
3	Futures		
4	Options		

**Note:**

- Clients who opt for physical contract notes will be charged at ₹ 10 per contract note plus actual courier charge
- GST, STT, stamp duty, SEBI turnover fees, exchange turnover charges and other statutory charges as applicable will be levied additionally
- Any revision of charges will be communicated 30 days in advance
- Any service not quoted above will be charged on actuals
- Brokerage will not exceed the rates specified by SEBI and the exchanges
- Brokerage is also charged on expired, exercised and assigned Options contract

I/ We agree to pay the charges as per the above tariff structure for our trading account with Elbee Securities Pvt Ltd

Client Signature	Date	D	D	M	M	Y	Y	Y	Y
------------------	------	---	---	---	---	---	---	---	---

# ELBEE SECURITIES PVT. LTD.

Reg. Office: 19 R. N. Mukherjee Road, 2<sup>nd</sup> Floor, Eastern Building, Kolkata – 700001

## PART III – DEMAT ACCOUNT OPENING FORM (FOR NON INDIVIDUALS)

Please fill the form in **ENGLISH** and in **BLOCK** letters with **BLACK** ink

DP ID	I	N	3	0	3	8	4	1	Client ID									Date	D	D	M	M	Y	Y	Y	Y
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--	------	---	---	---	---	---	---	---	---

I/We request you to open a depository account in my/our name as per the following details:

<b>A.</b>	<b>DETAILS OF ACCOUNT HOLDER(S)</b>																															
	Account holder(s)		Sole/ First Holder								Second Holder								Third Holder													
	Name																															
	PAN																															
<b>B.</b>	For 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 Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:																															
	Name										PAN																					
<b>C.</b>	<b>TYPE OF ACCOUNT</b>																															
	<input type="checkbox"/> Body Corporate <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> Qualified Foreign Investor <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Trust <input type="checkbox"/> Bank <input type="checkbox"/> CM <input type="checkbox"/> Others (please Specify) _____																															
<b>D.</b>	<b>INCOME DETAILS (Please specify)</b>																															
	Income range (in Rs.) per annum																															
	<input type="checkbox"/> Below 20 lac <input type="checkbox"/> 50 lacs – 1 crore <input type="checkbox"/> 20 – 25 lacs <input type="checkbox"/> More than 1 crore																															
	Networth Amount (Rs.)																															
	As on Date		D	D	M	M	Y	Y	Y	Y	(Networth should not be older than 1 year)																					
<b>E.</b>	<b>IN CASE OF FIIS/ OTHERS (As may be applicable)</b>																															
	RBI Approval Reference Number																															
	RBI Approval Date																				D	D	M	M	Y	Y	Y	Y				
	SEBI Registration Number (for FIIs)																															
<b>F.</b>	<b>CLEARING MEMBER DETAILS (To be filled up by Clearing Members only)</b>																															
	Name of Stock Exchange																															
	Name of Clearing Corporation/Clearing House																															
	Clearing Member ID																															
	SEBI Registration Number																															
	Trade Name																															
	CM-BP-ID (To be filled up by Participant)																															
<b>G.</b>	<b>BANK DETAILS</b>																															
	Bank Account Type		<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (please specify) _____																													
	Bank Account Number																															
	Bank Name																															
	Branch Address																															
			City/Town/Village								Pin Code																					
			State								Country																					
	IFSC																				MICR											
<b>H.</b>	Please tick if applicable for any of your Authorised Signatories/ Promoters/Partners/Karta/Trustees/Whole Time Directors <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)																															
<b>I.</b>	<b>MODE OF OPERATION FOR SOLE/ FIRST HOLDER (In case of joint holdings, all holders must sign)</b>																															
	<input type="checkbox"/> Any One Singly <input type="checkbox"/> Jointly <input type="checkbox"/> As per Resolution <input type="checkbox"/> Others (please specify) _____																															

J. STANDING INSTRUCTIONS	
1	I/ We authorise you to receive credits automatically into my/our account <input type="checkbox"/> Yes <input type="checkbox"/> No
2	Account to be operated through Power of Attorney (PoA) <input type="checkbox"/> Yes <input type="checkbox"/> No
3	SMS Alert Facility [Mandatory if you are giving Power of Attorney (PoA). Please ensure that the mobile number is provided in the KYC Application Form]
	Sole/ First Holder <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
4	Mode of receiving Statement of Account (Please tick any one) <input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form (Please read Note 3)
5	Standing Instruction Indicator for Auto Pledge Confirmation <input type="checkbox"/> Yes <input type="checkbox"/> No
6	I/We would like to receive Annual Reports, AGM notices and other communications from Issuers & RTAs in physical form
	Sole/ First Holder <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
7	Mode of receiving Rights & Obligations of Beneficial Owner & Depository Participant <input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form (Please read Note 3)
8	I/We would like to opt for your BSDA facility <input type="checkbox"/> Yes <input type="checkbox"/> No

K. LIST OF FAMILY MEMBERS (Separate Annexure may be used in case number of members is higher)					
	Name of Coparcener/ Member	Gender	Date of Birth	Relation with Karta	Whether Coparcener/ Member (please specify)
1					
2					
3					
4					

DECLARATION	
<p>The rules and regulation of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it. I/We acknowledge the receipt of copy of the document, "Rights and obligations of the Beneficial Owner and Depository Participant".</p>	

Authorised Signatories (Enclose a Board Resolution for Authorised Signatories. In case of HUF, details of Karta to be given)	
Sole/First Holder	
	Name
	Signature
First Signatory/ Karta of HUF	
Second Signatory	
Third Signatory	

Other Holders	
	Name
	Signature
Second Holder	
Third Holder	

Notes:	
1. In case of additional signatures, separate annexures should be attached to the application form.	
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.	
3. For receiving Statement of account in electronic form:	
I. Client must ensure the confidentiality of the password of the email account.	
II. Client must promptly inform the Participant if the email address has changed.	
III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.	
4. Strike off whichever is not applicable.	





## FOR OFFICE USE ONLY

<b>UCC code allotted to the client</b>														
	<b>Documents verified with originals</b>				<b>Client Interviewed by</b>			<b>In-person verification done by</b>						
<b>Name of the employee</b>														
<b>Employee code</b>														
<b>Designation of the employee</b>														
<b>Date</b>														
<b>Employee signature</b>														
	<b>Account and form verified by</b>					<b>Account opened by</b>								
<b>Name of the employee</b>														
<b>Employee code</b>														
<b>Designation of the employee</b>														
<b>Date</b>														
<b>Employee signature</b>														
<p>I/ We undertake that we have made the client aware of the Policy and Procedures, Tariff Structure, and all the non-mandatory documents. I/ We have also made the client aware of the 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 Structure, 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 document(s), RDD and Guidance Note would be made available to our clients via physical or electronic means for the information of the clients.</p>														
<div style="border-bottom: 1px solid black; width: 100%;"></div> <p style="text-align: center;">Signature of the Authorised Signatory</p>						Date	D	D	M	M	Y	Y	Y	Y

## OPTION FOR ISSUANCE OF DIS BOOKLET ALONG WITH ACCOUNT OPENING

(To be filled by persons seeking to open a depository account who have a Power of Attorney to operate the depository account to a stock broker/ participant/ portfolio manager and do not intend to open a Basic Services Demat Account)

DP ID	I	N	3	0	3	8	4	1	Client ID									Date	D	D	M	M	Y	Y	Y	Y											
<b>Name(s) of Account Holder(s)</b>																																					
Sole/ First Holder/Guardian																																					
Second Holder																																					
Third Holder																																					
<b>Option for Issue of DIS booklet (please tick any one)</b>																																					
<input type="checkbox"/> <b>Option 1</b>										I/ We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening																											
<input type="checkbox"/> <b>Option 2</b>										I/ We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/ us immediately on my/ our request at any later date																											
														<b>Name</b>														<b>Signature</b>									
Sole/ First Holder/Guardian																																					
																				Date										D	D	M	M	Y	Y	Y	Y
Second Holder																																					
																				Date										D	D	M	M	Y	Y	Y	Y
Third Holder																																					
																				Date										D	D	M	M	Y	Y	Y	Y

## POLICIES AND PROCEDURES

### A. REFUSAL OF ORDERS FOR PENNY STOCK

'Penny Stocks' can be referred to as those stocks which are generally considered to be highly speculative and risky because of their lack of liquidity, large bid-ask price spreads, small capitalisations, etc. As per our policy, 'penny stocks' can be referred to as the stocks which appear in the list of illiquid securities issued by the Exchanges every quarter and any other stock deemed so by Elbee Securities Private Limited (ESPL).

ESPL at its discretion can accept, refuse or partially accept any buy or sell orders for execution from the client in respect of such scrips. ESPL may allow restrictive acceptance of orders in such scrips and may demand appropriate declarations and additional margin from the client before accepting orders of such stocks. ESPL may cancel orders in such scrips received by the client before execution or partial execution or place any other kind of restrictions on the trade on such scrips without assigning any reason therefore to the client.

ESPL shall not be responsible for any consequential opportunity loss or financial loss that a client may incur from delay or non-execution of orders in penny stocks.

### B. SETTING UP CLIENT'S EXPOSURE LIMIT

ESPL may give an exposure limit which would be a multiple (ranging between one to four times) of the clear ledger balance in the account plus value of the shares given as collaterals computed after applying the appropriate haircut. In the F&O segment, exposure is given on the value of initial margin after applying appropriate haircut on the securities given as collateral. The exposure limit may be changed based on the volatility in the market and quality of the collaterals.

ESPL may set different exposure limits for different clients depending on their credit worthiness, integrity and past conduct. The client agrees that ESPL shall not be responsible for such variation, reduction, imposition, or the client's inability to route any order through ESPL's trading systems on account of any such variation, reduction or imposition of limits.

### C. APPLICABLE BROKERAGE RATE

ESPL follows the policy of charging brokerage not more than the maximum permissible brokerage as per the rules and regulations of SEBI/Exchange. Brokerage shall be levied as per the rates agreed upon with the client at the time of registration. The brokerage amount may be revised with prospective effect after a notice of 15 days. The brokerage amount debited to the client's account does not include any Exchange related charges or statutory levies as applicable. Any other applicable taxes imposed by the statutory authorities including Securities Transaction Tax (STT), GST, duties etc. will be paid by the client separately as may be levied from time to time.

### D. IMPOSITION OF PENALTY/ DELAYED PAYMENT

Clients will be liable to pay late pay-in/delayed payment charges 2% per month for not making payments of their pay-in obligations on time as per the Exchange requirements or net ledger debit balance as applicable. Further, where ESPL has to pay fine or bear any punishment from any authority in connection with/as a consequence of/in relation to any of the orders/trades/deals/actions of the client, the same shall be borne by the client. No interest/delayed payment charges will be payable by ESPL on the credit balance lying in the margin account or ledger balances of the client.

### E. THE RIGHT TO SELL CLIENT'S SECURITIES OR CLOSE CLIENT'S POSITIONS WITHOUT GIVING NOTICE TO THE CLIENT, ON ACCOUNT OF NON-PAYMENT OF DUES (THIS SHALL BE LIMITED TO THE EXTENT OF SETTLEMENT/MARGIN OBLIGATION)

ESPL shall be entitled to liquidate the client's securities (both paid and unpaid securities) as well as collaterals deposited towards margins or close out client's position, without giving notice to the client, for the non-payment of margins or other amounts including the pay-in obligation, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any losses and financial charges on account of such liquidations/closing out shall be charged to and borne by the client.

In case the payment of the margin/security is made by the client through a bank instrument, ESPL shall have absolute discretion to give the benefit/credit for the same only after realisation of clear proceeds in the ESPL bank accounts. Where the margin/security is made available by way of securities or any other property, ESPL is empowered to decline its acceptance and/or accept it at such reduced value as ESPL may deem fit applying haircuts or by valuing it by marking it to market. ESPL has the sole discretion to decide referred stipulated margin percentage depending upon the market conditions.

In the event of death or insolvency of the client, ESPL may close out all outstanding positions of the client, adjusting the loss incurred on such closures with the margin deposited by the client and claim further shortfalls, if any, against the estate of the client, and if needed further, from his/her successors/heirs. In case of any surpluses, the successors/heirs will be entitled to the same.

The above actions are at the sole discretion of ESPL and may vary from client to client. It would be undertaken only if the client fails to respond after repeated reminders and after giving the client a reasonable opportunity to be heard after giving a verbal/ electronic show cause notice and explaining the details of the proposed action.

Signature of the Client

#### F. SHORTAGES IN OBLIGATIONS ARISING OUT OF INTERNAL NETTING OF TRADES

If the Client fails to deliver any one or more securities to the pool account of ESPL in respect of the securities sold by the Client which turns out to be an internal position, on or before the pay-in date notified by the Exchange from time to time, for such un-discharged obligation in relation to delivering, any one or more securities, attempt shall be made by ESPL to buy the shares from the market on the pay in day or on the next working day on behalf the client who has delivered short and deliver the same to the client who has bought them. The client who has delivered short will be debited with the rate at which the shares were purchased or the rate at which the said shares were sold by him, whichever is higher. However, in case for any reason, whatsoever ESPL is unable to buy such quantity, the outstanding obligation of the Client shall be settled in the manner it deems fit and appropriate. The loss, if any, on account of the close out shall be to the account of the Client.

#### G. CONDITIONS UNDER WHICH A CLIENT MAY NOT BE ALLOWED TO TAKE FURTHER POSITION OR THE BROKER MAY CLOSE THE EXISTING POSITION OF A CLIENT

Any one or more of the below mentioned conditions may result the client not being allowed to take further positions or the closure of his/her existing positions:

- If the client does not meet his pay-in obligation as per the Exchange requirements irrespective of the deposited collaterals.
- If the client has continuous debit balances.
- If the client does not compensate the margin shortfall.
- If the client fails to submit any information/document that is mandatory.
- If the Exchange is not allowing any further positions in that scrip or if the scrip is declared illiquid by ESPL.
- If the transaction appears to be suspicious.

#### H. TEMPORARILY SUSPENDING OR CLOSING A CLIENT'S ACCOUNT AT THE CLIENT'S REQUEST

- The account of the client will be suspended/ closed on the receipt of a written request from the client specifying the reason to close the account. If the reason(s) given are justified, then the account of the client is suspended after effecting the settlement of the account.
- The Trading Member can withhold the pay-out of the client and suspend his trading amount due to surveillance action or judicial or/and regulatory order/action requiring client suspension.

#### I. DEREGISTERING A CLIENT

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

- If the actions of the client are prima facie illegal/ improper or such to manipulate the price of any securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- On the death, lunacy or any other disability of the client.
- If the client being a partnership firm/ any other organisation, has any steps taken by the client and/or its partners for reorganization, dissolution or liquidation.
- If the client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with ESPL.
- If the client is in breach of any term, condition or covenant of any agreement with ESPL.
- If the client has made any material misrepresentation of facts including (without limitation) in relation to the security.
- Any suspicious information found by ESPL in sites like CIBIL, World Check etc. or if there is any commencement of a legal process against the client under any law in court.
- If the client forms a part of the list of debarred entities published by the SEBI and/or any action is taken by NSE/BSE/SEBI on the client.
- If the client suffers any adverse material change in its financial position.
- If there is reasonable apprehension that the client may be unable to pay its dues or has admitted its inability to pay its dues.

ESPL reserves the right to deregister a client after giving a 30 day notice without specifying any reason whatsoever. ESPL freezes the assets of the client where it deems prudent and shall have the right to close out the existing positions, sell all the collaterals to recover its dues, if any, before deregistering the client.

#### J. INACTIVE ACCOUNTS

The account will be treated as inactive if the client does not trade for a period of six months and may be temporarily suspended. ESPL reserves the right to ask for a written request or any other document for reactivating the account.

#### CLIENT ACCEPTANCE OF POLICIES AND PROCEDURES STATED HEREINABOVE

I/We have fully understood the Policies and Procedures and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses in this document under any circumstance whatsoever. These Policies and Procedures may be amended/ changed by the broker after giving a 15 day notice. The change(s) can be communicated to me/us through any one or more means/methods. I/We agree never to challenge the same on any grounds including delayed receipt/non-receipt or any other reason 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 ESPL before any court of law/judicial/adjudicating authority including arbitrator/mediator, etc.

Signature of the Client

## DECLARATION OF ULTIMATE BENEFICIAL OWNERSHIP

*(Mandatory for Non-Individuals)*

## GENERAL INFORMATION & INSTRUCTIONS

As per SEBI Master Circular No. CIR/ISD/AML/3/ 2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on anti-money laundering and SEBI Circular No. CIR/MIRSD/2/ 2013 dated January 24, 2013, non-individuals and trusts are required to provide details of ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own(s) control or influences a client and/or person(s) on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

### Ultimate Beneficiary Owner [UBO]

#### A. For investors other than Individuals or Trusts:

- i. The identity of the natural person, who, whether acting alone or together, or through one or more juridical persons, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/ entitlement to:
  - a) More than 10% of shares or capital or profits of the juridical person, where the juridical person is a company;
  - b) More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
  - c) More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individual.
- ii. In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, arrangements or in any other manner.
- iii. Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

#### B. For investors which are Trusts:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 10% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

#### C. Exemption in case of listed companies/foreign investors

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company. It is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client.

### UBO Code Description

- UBO-1 : Controlling ownership interest of more than 10% of shares or capital or profits of the Applicant, where the Applicant is a company
- UBO-2: Controlling ownership interest of more than 15% of the capital or profits of the Applicant, where the Applicant is a partnership
- UBO-3: Controlling ownership interest of more than 15% of the property or capital or profits of the Applicant, where the Applicant is an unincorporated association or body of individual.
- UBO-4 : Natural person exercising control over the Applicant through other means i.e., exercised through voting rights, agreement, arrangement or in any other manner [In case where there exists doubt under UBO-1 to UBO-3 above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests]
- UBO-5 : Natural person who holds the position of senior managing official [In case no natural person could be identified as above]
- UBO-6 : The settler(s) of the Trust
- UBO-7 : Trustee(s) of the Trust
- UBO-8: The protector(s) of the Trust [if applicable].
- UBO-9 : The beneficiaries with 10% or more interest in the Trust if they are natural person(s)
- UBO-10: Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership.

## FATCA/CRS DECLARATION FORM (FOR NON INDIVIDUALS)

To: Elbee Securities Private Limited (ESPL)					Date	D	D	M	M	Y	Y	Y	Y	
Client Name														
Client Code (UCC)		BO ID												
<b>PART I</b>														
A.	Is the account holder a Govt. body/International Organization/listed company on a recognized stock exchange?										<input type="checkbox"/> Yes		<input type="checkbox"/> No	
	If "Yes", then please specify the name of stock exchange, whether you are a listed company, and then proceed to sign the Declaration										(Please specify here)			
	If "No", then proceed to point B													
B.	Is the account holder (Entity/Financial Institution) a tax resident of any country other than India?										<input type="checkbox"/> Yes		<input type="checkbox"/> No	
	If "Yes", then please fill of FATCA/CRS self - certification form													
	If "No", please proceed to point C													
C.	Is the account holder an Indian Financial Institution?										<input type="checkbox"/> Yes		<input type="checkbox"/> No	
	If "Yes", then please provide your GIIN, if any										(Please specify here)			
	If "No", please proceed to point D													
D.	Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen										<input type="checkbox"/> Yes		<input type="checkbox"/> No	
	If "Yes", then please fill of FATCA/CRS self - certification form													
	If "No", please proceed to sign the declaration													
<b>PART II SELF CERTIFICATION FORM (ENTITY) FOR FATCA AND CRS</b>														
<b>Section 1: Entity Information</b>														
Name of the Entity														
Customer ID (if existing)														
Entity Constitution Type														
Entity Identification Type		<input type="checkbox"/> Tax Identification Number (TIN)				<input type="checkbox"/> U.S. GIIN				<input type="checkbox"/> Other				
		<input type="checkbox"/> Company Identification Number				<input type="checkbox"/> Global Entity Identification Number (EIN)								
Entity Identification Number														
Entity Identification Issuing Country														
Country of residence for tax purposes														
<b>Section 2: Classification of Non – Financial Entities</b>														
I/We (on behalf of the entity) certify that the entity is:														
a) An entity incorporated and taxable in U.S. (Specified U.S. person)										<input type="checkbox"/> Yes		<input type="checkbox"/> No		
If "Yes", please provide your U.S. Taxpayer Identification Number (TIN)														
b) An entity incorporated and taxable outside of India (other than U.S.)										<input type="checkbox"/> Yes		<input type="checkbox"/> No		
If "Yes", please provide the following										TIN/ Functional Equivalent				
										TIN Issuing Country				
c) Please provide the following additional details if you are not a Specified U.S. Person:														
FATCA/CRS Classification for Non – Financial Entities (NFFE)														
<input type="checkbox"/> Active NFFE														
<input type="checkbox"/> Passive NFFE without any controlling Person(s)														
<input type="checkbox"/> Passive NFFE with any controlling Person(s): <span style="margin-left: 100px;"><input type="radio"/> U.S.</span> <span style="margin-left: 20px;"><input type="radio"/> Others</span>														
<input type="checkbox"/> Direct reporting NFFE (Please choose this if any entity has registered itself for direct reporting for FATCA and thus Elbee Securities Pvt. Ltd. is not required to do the reporting)														
Please provide GIIN number														
<b>Section 3: Classification of Financial Institutions (Including Banks)</b>														
I/We (on behalf of the entity) certify that:														
a) The entity is a U.S. financial institution										<input type="checkbox"/> Yes		<input type="checkbox"/> No		
If "Yes", please provide the following										TIN				
										GIIN, if any				
b) If "No", please tick one of the following boxes in the next page:														

Please provide the Global Intermediary Identification Number (GIIN) or other information against the selected option:

<input type="checkbox"/> Reporting foreign Financial Institution in a Model 1 Inter-Government Agreement (IGA) Jurisdiction	
<input type="checkbox"/> Reporting foreign Financial Institution in a Model 2 IGA Jurisdiction	
<input type="checkbox"/> Participating FFI in a Non-IGA Jurisdiction	
<input type="checkbox"/> Non – Reporting FI	
<input type="checkbox"/> Non – Participating FI	
<input type="checkbox"/> Owner – Documented FI with specified US owners	

#### Section 4: Controlling Person Declaration

If you are classified as “Passive NFFE with Controlling Person(s)” or “Owner Documented FFI” or “Specified U.S. person”, please provide the following details:

Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing Country	Controlling person Type
Details	Controlling Person 1	Controlling Person 2	Controlling Person 3	Controlling Person 4	Controlling Person 5
Identification Type					
Identification No.					
Occupation Type					
Occupation					
Birth Date					
Nationality					
Country of Birth					

#### PART III CUSTOMER DECLARATION

- Under penalty of perjury, I/ we certify that:
  - The number shown on this form is the correct taxpayer identification number of the applicant, and
  - The applicant is (i) an applicable taxable as a US person under the laws of the United States of America (“U.S.”) or any state or political subdivision thereof or therein, including the District Of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to the U.S. federal income tax regardless of the source thereof, (This clause is applicable only if the account holder is identified as a U.S. person) OR
  - The applicant is taxable as a tax resident under the laws of country outside India. (This clause is applicable only if the account holder is a tax resident outside of India)
- I/We understand that ESPL is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. ESPL is not able to offer any tax advice on FATCA/CRS or its impact. I/We shall seek advice from professional tax advisors for any tax questions.
- I/We agree to submit a new form within 30 days if any information or certification on this form gets changed.
- I/We agree that as may be required by domestic regulators/ tax authorities ESPL may also be required to inform reportable details to CDBT or close or suspend my account.
- I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number / functional equivalent number of the applicant.

_____ Authorised Signatory(ies) and Company Seal (if applicable)	Date	D	D	M	M	Y	Y	Y	Y
	Place								



## INFORMATION TO BE PROVIDED BY THE CLIENT IN RELATION TO PMLA, 2002

<b>A. IDENTITY DETAILS</b>																				
Name of the Client						Client Code														
If Business/ Profession		Nature of Business																		
		Industry																		
<b>B. DETAILS OF MY/ OUR RELATIVES HAVING ACCOUNT(S) WITH ESPL (Please attach an additional sheet if required)</b>																				
		Name			Relationship			UCC (Client Code)												
1																				
2																				
3																				
<b>C. DETAILS OF THE CORPORATE /PARTNERSHIP FIRM/ TRUST etc. WHERE I/ WE AM/ ARE AFFILIATED</b>																				
		Name		Entity Type		Business Nature		Relationship		UCC (Client Code)										
1																				
2																				
<p>I/ We agree to submit the following documents to ESPL every year before the due date as prescribed by ESPL:</p> <table style="width: 100%;"> <tr> <td>1. Profit &amp; Loss Account and Balance Sheet</td> <td>5. Demat Transaction Statement</td> </tr> <tr> <td>2. Form 16 (Salary Certificate) in case of Salary Income</td> <td>6. Bank Statement (for 6 months)</td> </tr> <tr> <td>3. Self Attested copy of Income Tax Return</td> <td>7. Shareholding Pattern</td> </tr> <tr> <td>4. Networth Certificate</td> <td></td> </tr> </table> <p>I/ We confirm that I/ we will immediately inform ESPL in case I/ we am/are convicted under any grounds or any action is taken against me/ us by any authority (ies).</p> <p><input type="checkbox"/> I/ We hereby declare that I/ we do not fall under the Clients of Special Category as defined in Prevention of Money Laundering Act, 2002 <b>OR</b></p> <p><input type="checkbox"/> I/ We hereby declare that I/ we fall under the Clients of Special Category as defined in Prevention of Money Laundering Act, 2002 (Choose the relevant category as under):</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Non Resident client</li> <li><input type="checkbox"/> High Net – Worth Client (having annual income + networth of more than Rs. 1 Crore)</li> <li><input type="checkbox"/> Trusts, Charities, Non – Governmental Organizations (NGOs) and organizations receiving donations</li> <li><input type="checkbox"/> Companies having close family shareholdings or beneficial ownership</li> <li><input type="checkbox"/> Civil Servant or family member or close relative of civil servant</li> <li><input type="checkbox"/> Bureaucrat or family member or close relative of bureaucrat</li> <li><input type="checkbox"/> Current or Former MP or MLA or MLC or their family member or close relative</li> <li><input type="checkbox"/> Politician or their family member or close relative</li> <li><input type="checkbox"/> Current or former Head of State of Governments or their family member or close relative</li> <li><input type="checkbox"/> Senior government/judicial/military officers or their family member or close relative</li> <li><input type="checkbox"/> Senior executives of state-owned corporations or their family member or close relative</li> <li><input type="checkbox"/> Companies offering foreign exchange offerings</li> <li><input type="checkbox"/> Non face to face client / Clients with dubious reputation as per public information available etc.</li> <li><input type="checkbox"/> Clients in high risk countries where existence/ effectiveness of money laundering controls is suspect etc.</li> </ul>													1. Profit & Loss Account and Balance Sheet	5. Demat Transaction Statement	2. Form 16 (Salary Certificate) in case of Salary Income	6. Bank Statement (for 6 months)	3. Self Attested copy of Income Tax Return	7. Shareholding Pattern	4. Networth Certificate	
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I/ We intend to invest in the stock market with:						<input type="checkbox"/> Own Funds		<input type="checkbox"/> Borrowed Funds												
If borrowed Funds, then please specify the source(s) of funds																				
Source(s) of Borrowed Funds (Please attach an additional sheet if required)										Amount (Rupees)										
1																				
2																				
(Certificated/ Opinion Report from the Banker/ Financial Institution confirming that there has been no default in the client's account is to be attached, which I/ we agree to attach herewith.)																				
I/ We declare that I/ we am/ are beneficial owner of the trading/online account opened with Elbee Securities Pvt. Ltd.																				
Signature						Date		D	D	M	M	Y	Y	Y	Y					
<b>FOR OFFICE USE ONLY</b>																				
Risk categorization of client as per PMLA, 2002		<input type="checkbox"/> High Risk		<input type="checkbox"/> Medium Risk		<input type="checkbox"/> Low Risk														
Verified By																				
Authorised and Approved By																				

## AUTHORITY LETTER FOR RUNNING ACCOUNT

To,  
Elbee Securities Private Limited,  
19, R.N. Mukherjee Road,  
2nd Floor, Eastern Building,  
Kolkata – 700001.

Dear Sir/Madam,

I/We as the client of Elbee Securities Pvt. Ltd. ("ESPL") for Trading in Capital Market Segment and/or Futures & Options of NSE/BSE do hereby authorise ESPL for the following:

- In order to facilitate my/our smooth trading operations, I/we authorise ESPL to maintain a running account, instead of settlement to settlement clearance of funds/securities due to me/us. In this regard, I/we have been informed about the SEBI circular no. MIRSD/SE/Cir-19/2009 dated December 3, 2009. I/We have read and understood the same. I/We hereby authorize ESPL to maintain a running account in all segments across the exchanges (NSE/BSE).
- The payout of funds/securities may be retained by ESPL and no interest shall be payable by ESPL on such retention. I/We further agree that ESPL shall not be liable for any claim of loss or profit or any consequential, incidental, special or exemplary damages, caused by retention of such securities/ funds under this agreement or otherwise.
- I/We may be trading in Capital Market Segment and/or Futures & Options segment of NSE and/or BSE and hence have obligations under various accounts with ESPL. In this regard I/we hereby authorize ESPL to act at its discretion of adjusting any credit balance under my/our various accounts against the debit in any account across segments/exchanges, without taking any further instruction from me/us. I/We also agree/ understand that there shall be no inter-client adjustment for the purpose of settlement of running account.
- I/We hereby further authorize ESPL to hold and retain the said funds/securities until a request for the same is made by me/us, subject to the condition that sufficient margin in respect of my/our continued trading, across the exchanges and/or across the segments of the exchanges, are available with ESPL. I/We further authorize ESPL to keep my/our shares purchased through it, in its margin account and to deliver and/or adjust said shares against our sales in subsequent settlements i.e. inter transferring the shares from one settlement to another settlement in various segments across Exchanges, unless ESPL receives any verbal or written instruction from me/us to deliver the same to my/our Depository Account. Similarly, I/we authorize ESPL to issue a cheque against our fund pay out only after getting an instruction from me/us. Otherwise the same will remain with ESPL against my/our margin obligation towards Capital Market Segment and/or Futures & Options Segment.
- I/We authorize ESPL to set off a part or whole of the margin deposited by me/us against any of my/our dues, by appropriating relevant amount of funds or by sale of securities which from part of margin.
- I/We agree that (a) in respect of derivatives market transactions, ESPL may retain the requisite securities/ funds on settlement date to take care of any obligation arising in next 5 days, calculated in the manner specified by the exchange, (b) in respect of cash market transaction, ESPL may retain the entire pay-in obligation of funds & securities due from me/us as on the date of settlement and for next day's business, ESPL may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement.
- I/We hereby authorize ESPL to pledge my/our Securities/Funds (Collaterals) as margin with the Clearing Corporation(s) of the Exchange(s) towards my/our margin/exposure requirements.
- I/We authorize ESPL to transfer the funds/securities in my/our credit within one working days of the request if the same are lying with ESPL and within three working days from the request if the same are lying with the Clearing corporation(s) of the Exchange(s).
- I/We agree that funds given towards collateral/margins in the form of Bank Guarantee (BG)/Fixed Deposit Receipts (FDR's) may not be periodically settled.
- I/We authorise you to retain an amount upto Rs. 10,000/- (consolidated amount across segments and exchanges) for actual settlement of that respective traded quarter/month.
- I/We authorize you to actually settle my account with you atleast once in a calendar quarter or month as per the option selected below. Further, I/we confirm that I/we will bring to the notice of ESPL any dispute arising from the settlement of account or settlement so made in writing within seven working days from the date of receipts of funds/securities or settlement of account or statement related to it, as the case may be at ESPL's registered office.

SETTLEMENT PREFERENCE	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly	(Please select any one option)
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- The instructions/authorizations made by me/us above are revocable and can be revoked/ withdrawn at any time by giving a notice in writing by me/us.

Signature of the Client

Date

D

D

M

M

Y

Y

Y

Y

## ELECTRONIC PAYOUT REQUEST

To,  
Elbee Securities Private Limited,  
19, R.N. Mukherjee Road,  
2nd Floor, Eastern Building,  
Kolkata – 700001.

Dear Sir/Madam,

I/We furnish the details of my Bank Account as given in PART II – TRADING ACCOUNT OPENING FORM to enable the transfer of funds payable to me/us against sale of securities/ credit balances in my account.

I/We hereby declare that the particulars mentioned above are correct, complete and true and I/we request Elbee Securities Pvt. Ltd. ("ESPL") to transfer the funds against payments due to me into the above mentioned Bank Account until any other instruction is given by me/us. It is also agreed by me/us that the above facility is being provided to me/us by ESPL at my/our request and it can be discontinued/withdrawn by ESPL at its discretion at any point of time, as and when required without prior notice.

- The transfer of funds to my/our bank account will continue to be governed by the terms and conditions as per my declaration to ESPL
- I/We shall review, upon receipt; all transfer of all funds made into the aforesaid bank account. In case the fund payment is not received in my/our account on the scheduled date, then I/we will notify the same to ESPL within two working days, failing which it will be assumed that the funds have been credited to my account and ESPL shall not be liable in any manner thereafter for the same.
- If the transaction is delayed or not effected at all for incomplete or incorrect information provided by me/us, I/we would not hold ESPL responsible and hereby indemnify ESPL from any losses or damage therefrom.
- All charges levied by Bank for the said facility shall be borne by me/us.

\_\_\_\_\_  
Signature of the Client

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

## CONSENT LETTER FOR RECEIVING ALERTS/ TRADING CALLS ON MOBILE

To,  
Elbee Securities Private Limited,  
19, R.N. Mukherjee Road,  
2nd Floor, Eastern Building,  
Kolkata – 700001.

Dear Sir/Madam,

I/We hereby give my/our consent to ESPL to send me/us Alerts, Trading Calls, Research Reports, News, Live Updates or any other information on my Email ID \_\_\_\_\_ and mobile number \_\_\_\_\_

This shall not be treated as violation of any DND or any other similar rules applicable from time to time. The number may be given to the exchange database also. Further, I/we undertake to ESPL and confirm to use my/our own judgment in taking a view and execute trade in the identified security (ies) according to my/our financial strength/capabilities and shall not hold ESPL responsible for any losses suffered by me/us on account of executing or omitting to execute any trades in pursuance of such communication and/or investment advises sent by ESPL.

\_\_\_\_\_  
Signature of the Applicant

Date	D	D	M	M	Y	Y	Y	Y
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# CONSENT LETTER FOR ELECTRONIC COMMUNICATION

To,  
Elbee Securities Private Limited,  
19, R.N. Mukherjee Road,  
2nd Floor, Eastern Building,  
Kolkata – 700001.

Dear Sir/Madam,

I/we authorise Elbee Securities Private Limited (“ESPL”) to issue the contract notes, statement of funds & securities, circulars, amendments, client registration documents, DP bill, transaction statements, holding & financial statements and other such documents in electronic mode in lieu of physical mode on my/our updated E-mail ID, which is as follows:

Email ID: \_\_\_\_\_

I/We confirm that it will be my/our responsibility to ensure that the above E-mail ID is active. Any changes in the E-mail ID shall be communicated by me/us in writing to ESPL. Further to my/our authority to ESPL to issue Contract Notes in digital format, I/we authorise ESPL 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 details from the Contract Notes issued to me/us.

I/We authorise ESPL to send periodic statements of funds and securities & margin statement etc. in digital format at my/our Email address unless I/we request in writing to send them in paper form. I/We understand and agree that any request to provide paper form of documents shall be charged to me/us by ESPL as per the prevailing rates. I/We do hereby confirm that I am aware of an extra levy (as per prevailing rates) by ESPL for physical delivery of any of the aforementioned documents, in case the e-mail sent to me bounces back.

I/We hereby acknowledge that all the documents sent on the above E-mail ID by ESPL will be considered as having delivered to me/us once the email leave the ESPL email server and no bounced mail notification is received by ESPL.

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

I/We further agree that in the absence of any communication from my/our end regarding the non-receipt of documents through e-mail or notification of any discrepancy within two working days from the date of issuance of digital contract note through e-mail, ESPL may construe that there is a deemed acknowledgement of the document(s) sent to client electronically.

In case I/we wish to withdraw this facility, I/we shall inform ESPL in writing at least ten days in advance from the date of withdrawal.

Thanking You,  
Yours Faithfully,

\_\_\_\_\_  
Signature of Client

Date	D	D	M	M	Y	Y	Y	Y

## LETTER OF UNDERSTANDING

### A. CLIENT OPERATIONS

- The Client agrees that ESPL will not provide him/her order confirmation/modification/cancellation slip and trade confirmation slip to avoid unnecessary paper work. He/ She hereby requests ESPL to kindly accept his/her mandate holder's verbal order/instruction in person over phone and execute the same. He/ She shall get the required details from contract notes issue by ESPL. The client understands the risk associated with placement of verbal order and accepts the same. He/ She will not disown order under the plea that the same was not placed by him/her.
- The Client is aware that ESPL/Sub Broker/Authorised Person may tape record the conversation, while providing trade confirmation/advisory services/research calls or otherwise, between the Client or the Client's representative and ESPL/sub broker/authorised person, either personally or over the phone, and the client hereby specifically permits ESPL to do so. Such electronic recording may be relied upon by ESPL/Sub Broker as and when required to resolve disputes in connection with the trading transaction or otherwise.
- The Client is aware that he/she is required to make full payment to ESPL for the execution of the contract on the day of execution of trade. The Client explicitly agrees and authorizes ESPL to suspend/deactivate his/her account for non- payment of the above stated dues and other such amounts as may be due from the client from time to time without giving any further notice or intimation to the client.
- The client hereby informs ESPL that he/she has executed/intends to execute an agreement with ESPL for trading on different Exchanges, i.e. NSE and BSE, in cash and derivative segment. The Client requests ESPL to transfer, make adjustments and /or set off a part or whole of the securities placed as margin and/or any surplus funds in any one of the accounts maintained with ESPL against the outstanding dues payable, if any, by the client account(s) maintained with ESPL. ESPL will have lien on the credit balances in any of the client's account(s) for meeting the debit obligations in progress in any other of the client's account(s). Any entries passed by ESPL in accordance with this authorization will be binding on the client.
- The Client hereby agrees to ensure that before selling any shares, he/she has to have them in his/her ownership. Any loss arising out of auction/closeout due to short selling of shares will be borne by the client. The client also agrees to bear any losses arising out of auctions due to incomplete instructions, illegible instructions, unclear instructions and instructions not received on time.
- The client hereby authorises ESPL to transfer shares, lying in ESPL's pool account to his account for pay-in purposes for shares purchased by the client in previous settlements. In case the client does not want ESPL to transfer these shares towards inter settlement from ESPL's pool account for pay-in purposes, he/she shall inform ESPL in writing within 48 hours before the pay-in date. In case ESPL does not receive the same in writing or for a wrong statement, ESPL shall not be responsible for losses, if any.
- Any queries related to securities delivered would be brought to the notice of ESPL within 7 working days of the receipt of such securities in the client's demat account. Otherwise, it can be presumed that the client has checked all the securities received by him/her and that they are good as per the prevailing terms.
- The client irrevocably authorises ESPL to pledge any securities purchased for the client and held in its pool A/C, awaiting payment of price from the client with any bank or other institution as it may deem fit.

### B. AUTHORIZATION TO DEBIT DEMAT ACCOUNT AND MISCELLANEOUS CHARGES

- The client authorises ESPL to debit his/her trading account for all the charges relating to its Demat Account. The client understands that the said charges in the Demat Account are incurred on a regular basis and this authorisation of transferring the same to the client trading account shall be remain valid for all such instance. The client also authorises ESPL to retain its shares/ any other security till the clearance of the dues in the trading as well as Demat Account.
- The client here by agrees and understands that in case of any non-compliance and/or default by the client such as cheque dishonour, client code modification, F&O short margin, UCC violation, price rigging or for any other matter as may be decided by ESPL from time to time, without prejudice to ESPL's other rights, ESPL may be levy charges/penalty (ies) on the Client and debit such charges/penalty (ies) in the client account which has been imposed by Regulatory Authorities.
- The client hereby authorizes ESPL to debit his account other miscellaneous charges including payment instruction charges, settlement/ professional charges, research service fee, trading platform charges, charges related to IPOs. Rights issue and other investment avenues

### C. PAYMENT OF MARGINS

- The client hereby agrees to make payment against debit balance and margin payment as demanded by ESPL in the form of Fund or securities in proportion, as prescribed by ESPL or exchange, failing which the broker can square up all or any outstanding position of sale and/or in any segment and/or in any Exchange, without any notice to the client.
- Margin in the form of securities: ESPL, in its absolute direction will decide the eligible securities, which could be deposited by the client for meeting current of future margin/deposit obligation. ESPL would be free to the continuously review the eligibility of securities already deposited by the client. Securities accepted as margin/deposit, shall be valued as per valuation norms decided by ESPL from time to time. The client authorizes ESPL to sell their securities for margin requirements in cash and F&O segment of the Exchanges.
- Lien: The client agrees that all monies, securities or any other property that may be held by ESPL on the client's account shall be held by ESPL at the sole risk and cost of the client and such monies, securities or property as permitted by the Exchange(s) shall be held subject to general lien for the discharge of the client obligation to ESPL under the voluntary clauses irrespective of whether such obligation of the client is disputed by the Client. ESPL shall be under no obligation to release such monies, securities or property until client has discharged its entire obligation in full to ESPL under the voluntary clause to the satisfaction of ESPL.

Signature of the Client

#### D. INDEMNIFICATION

- The Client and the Sub broker shall indemnify and shall always keep indemnified ESPL harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to ESPL directly or indirectly, owing to bad delivery (as defined by the Exchange Rules/Regulations/Bye-Laws) of shares/securities and/or as a result of fake/forged/stolen shares/securities/transfer documents that are introduced or may be introduced by or through the Client during the course of its dealings/operations of the Stock Exchange(s).
- The Client undertakes that he/she shall not hold ESPL, its Directors or Officers responsible for his/her/their acceptance of any lucrative offer or fixed return on investment made by any of their representative (verbal/written) without the knowledge of ESPL and the onus to bring the same to the notice of ESPL lies with the Client.
- Trading on all exchanges is in electronic mode, based on connectivity through various media such as VSAT, Leased Line, ISDN, Modem and VPN, as well as through a combination of technologies and computer systems to place and route orders. The Client understands that there exists a possibility of communication failure or system problem or slow/delayed response from systems or a trading halt, or any such other problem/glitch which may result in ESPL not being able to establish/provide access to the trading system/network, which may be beyond ESPL's control and may result in delays in processing of buy/sell orders either in part or full. The Client shall be fully liable and responsible for any such problem/fault and shall not make any claims on ESPL for the same.

#### E. GENERAL

- In case of any one or more of the provisions contained in the voluntary clauses becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality, and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereto.
- The Client agrees not to hold ESPL liable or responsible for any delay or default in performance of ESPL's obligations due to contingencies beyond ESPL's control, such as Fire, Flood, Civic Commotion, Earthquakes, Riots, Wars, Failure of systems, failure of internet links, government/regulatory actions or any other contingencies beyond ESPL's control.
- ESPL will not be liable to the client for loss arising due to fire, theft or loss due to human error in case of shares sent to dematerialisation, or any other unforeseen circumstances if the shares are in the custody of ESPL beyond the stipulated time.
- The Client understands that information about him/her and their transactions may be reported by ESPL to FIU/concerned authorities/regulators without any intimation to the Client and have no objection for the same.
- The Client hereby undertakes to extend full co – operation to ESPL in their endeavour towards compliance with Anti – Money laundering norms, and to not hold ESPL legally liable in any manner whatsoever towards the same.
- In case of any delayed payment by the Client towards any obligations on the client's part, ESPL is authorised to debit the client's Trading Account with the delayed payment charges which shall be levied by ESPL subject to a maximum of 2% per month.
- The Client has clearly read and understood all the points mentioned in this Letter of Understanding/Authority. All the instructions are given by the client's own free will. In case the client wishes to withdraw any of the above mentioned terms, he/she shall inform ESPL in writing and acknowledge the same at least one week in advance from the date of withdrawal.
- The Client hereby confirms that he/she is not a Stock Broker or Sub – Broker or Authorised Person or Remieser of any Stock Exchange(s). further, in the event the client wishes to obtain any membership of any Stock exchange (s) or wishes to become a Sub – Broker or Authorised Person or Remieser of any Trading member in any Stock exchange, then the Client undertakes to obtain a No-objection certificate from ESPL prior to making an application to the Exchange (s).

<b>Signature of the Client</b>	
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# MUTUAL FUND SERVICE SYSTEM FACILITY

To,  
Elbee Securities Private Limited,  
19, R.N. Mukherjee Road,  
2nd Floor, Eastern Building,  
Kolkata – 700001.

Dear Sir/ Madam,

I/We \_\_\_\_\_ am/are registered as your client with Client Code No. \_\_\_\_\_ and have entered into relationship with the Trading Member for the purpose of trading in the Capital Market Segment of Bombay Stock Exchange Ltd. and/or National Stock Exchange Ltd. (Exchanges).

I/We am/are interested in availing the trading facility of the Exchanges for the purpose of dealing in the units of Mutual Fund Schemes permitted to be dealt with on the BSE StAR MF and NSE MFSS platforms.

I/We am/are providing consent for mutual fund trading against collateral lying in my/our account and am/are aware that in any event of non – clearance of debit in my/our trading account(s), there is a risk of stock collateral or MF collateral getting liquidated to the extent of my/our ledger debit for the recovery of trading debit.

For the purpose of availing this BSE StAR MF & NSE MFSS facility, I/we state that Know Your Client details as submitted by me/us for stock broking may be considered for the purpose of BSE StAR MF & NSE MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

I/We am/are willing to abide by the terms and conditions mentioned in the circular dated December 2, 2009 and in circular No. NSE/MFSS/003/2001 download Ref. No. NSE (MIC/13533) dated November 24, 2009 for BSE STAR MF and NSE MFSS respectively. I/We am/are willing to also abide by the terms and conditions as may be specified by the Exchanges/ICCL/NCL through any other Notices/Circulars from time to time in this regard.

I/We shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India (SEBI) and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the Scheme Information Document (SID) and Key Information Memorandum (KIM), addenda issued regarding each Mutual Fund Scheme which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in BSE STAR MF and NSE MFSS.

Thanking you,  
Yours Faithfully,

Client Name												
Client ID								Client UCC Code				
Date	D	D	M	M	Y	Y	Y	Y	Place			
Signature of Client/ Authorised Signatories												



## POWER OF ATTORNEY

TO ALL TO WHOM THESE PRESENTS SHALL COME,

I/We ..... residing at/having place of  
business/registered office at .....  
hereby send greetings:

WHEREAS I/we wish to avail various securities related services (hereinafter referred to as "services") offered by Elbee Securities Pvt. Ltd. (hereinafter referred to as 'ESPL'), a Depository Participant registered with the Securities and Exchange Board of India (SEBI) under Registration Number IN-DP-86-2015, a Member of the National Stock Exchange (NSE) and Bombay Stock Exchange (BSE) under Registration Number INZ000199535, having its registered office at 19, R. N. Mukherjee Road, 2nd Floor Eastern Building, Kolkata-700001 with/without online trading/e-broking & web based facilities and/or services through its website or any other website used for offering Services.

WHEREAS ESPL is providing "services" which inter alia include but not limited to transactions in connection with purchase or sale of securities, scrips, stocks, bonds, debentures, mutual fund units or any other financial instruments, or subscription to any offer or public issue of shares, mutual funds, including initial public offering (IPO) thereof, buyback of shares or any other such transactions relating to securities and financial instruments within the guidelines and purview of SEBI.

WHEREAS I/we in this connection have Beneficiary Account No ..... (BO-ID) /will open Beneficiary Account(s) with NSDL through ESPL bearing DP ID IN303841 AND/OR I/we have a Trading Account with Unique Client Code ..... (UCC) /will open a Trading Account with ESPL for trading on NSE and/or BSE in the Capital Market (CM) and/or the Futures & Options (FO) segment(s)

AND WHEREAS as consideration for availing said services as well as a prerequisite for fulfilling the various preconditions and requirements so as to avail of the services by ESPL, I/we am/are desirous of appointing an attorney and confer upon it powers hereinafter started.

NOW THESE PRESENTS WITNESS that I/we, do hereby, jointly and severally nominate, constitute and appoint ESPL acting through any of its directors and/or officers, as my/our true and lawful Constituted Attorney (hereinafter referred to as the said Attorney) for me/us, in my/our name and on my/our behalf at my/our risk and costs to do, exercise and perform all or any of the following acts, deeds and things:

1. To operate the specified Beneficiary Account in course of business and to transfer the securities held in my/our beneficiary Account(s) towards pool/collateral/margin account of ESPL to the extent of shares sold through ESPL for pay in obligation as well as for margins towards any Stock Exchange in all segments.
2. To pledge the securities in favour of ESPL for the limited purpose of meeting margin requirements in connection with the trades executed by me/us on any of the Stock Exchange(s) through ESPL.
3. To issue instructions related to the Beneficiary Account, executing delivery/receipt instructions, pledge creation instructions, lending and borrowing instructions, to operate the depository account by issue and receipt of instructions for the above mentioned purpose and such other authorization given by me/us in any electronic form/ or in writing, in any format and at any time for the purpose of debiting or crediting my account opened with the Depository Participant.
4. Pursuant to my/our instruction or instruction of my/our Authorised Representative (applicable only in case of non-individual client) to do all such acts and things as may be necessary to make application for various products and to effect the subscription/purchase/redemption or any other transaction for Mutual Funds/online Mutual Funds, Public Issues (shares as well as bonds/ debentures), Initial Public Offer/ Follow on Public Offer/ Rights Issue/ Offer for Sale/ Tendering Shares in Open Offers and/or any other Investment Product for which services are availed from ESPL.
5. To authorise ESPL to send trades and accounts related information and also consolidated summary of scrip wise buy and sell positions taken with average rates by way of SMS/email on a regular basis.
6. For the purpose of the aforesaid to register this Power of Attorney with the Bank/Issuer/Registrar to an Issue, Depository Participant and/or with any other party concerned.



7. For the purpose of the aforesaid to sign contracts, agreements, transfers, acceptance, receipts or other instruments, documents and forms to accept and carry out correspondence with such person(s) or authority(s) or departments(s) and to do all such lawful acts requisite for affecting the same. To do all such acts and things as may be necessary or desirable in order to exercise its powers here in above or to comply with any laws, orders, rules, regulations or directions of any governments, regulatory or any such authority.
8. My/Our Attorney, ESPL shall not be liable for any loss that may result from failure/ inability of electronic connectivity of rejection of my/ our application for any reason whatsoever.
9. In case mutual fund units wrongly/erroneously subscribed and delivered in my/our account, ESPL is authorised to automatically transfer the units in their pool/collateral/margin account without my consent.
10. In case the securities or fund that may have been delivered/transferred/credited to my DP account erroneously or those securities or fund that I was not entitled to receive, ESPL is authorized to instruct the DP to reverse such transactions without obtaining any authorization from me.
11. I/We understand that on production of adequate proof that ESPL would always return to me/us the securities or funds that may have been received by it erroneously or was not entitled to receive from me/us.

The demat account details of ESPL where shares can be transferred for the above purpose is mentioned below:

NSE CM A/C	
BSE CM A/C	
MARGIN A/C	

12. To do all other acts or deeds which ESPL in its discretion considers necessary in this connection in order to complete the transactions(s); so however, that nothing herein shall preclude me from operating the designated Beneficiary Account, subject always to powers granted herein to ESPL for the purposes of the member client relationship.

I/We hereby agree that ESPL shall exercise such powers and authorities conferred under the above Power of Attorney pursuant only to the instructions in that behalf given by me/us or my /our Authorised Representative, which may be given orally over the telephone, through the internet, electronically or in other manner acceptable by ESPL and such instruction shall be deemed to have been given by me/us and shall be conclusive and binding on me/us and if necessary it may be ratified by me/us on the instruction of the said attorney.

Subject only to the satisfaction of all amounts/dues payable by me/us to ESPL in respect of any services/facilities provided in connection with this Power of Attorney, the Member Client relationship or any other document(s) executed between the parties, this Power of Attorney shall be valid, effective, operative and shall remain in force till the same is revoked by us. Also, this Power of Attorney is revocable by me/us at any time without notice.

I/We hereby agree that any dispute arising out of all trades, transactions and contracts will be settled under the bye-laws, rules and regulations of the concerned Stock Exchange(s) where the trades have been executed and depository related issues under the bye laws, rules and regulations of the concerned depository where the beneficial owner demat account is held,

I DO HEREBY for myself, my heirs, executors and administrators agree to ratify, confirm and validate all and whatsoever my said Attorney shall do or purport to do or cause to be done by virtue of these presents.

This Power of Attorney shall be subjected to the jurisdiction of the Courts in Kolkata.

Executed in Kolkata on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_

In WITNESS WHEREOF I/we have executed this Power of Attorney on the day, date and year herein below mentioned.

Signed for and on behalf of	Signature	Name of Authorised Signatory	Title/Designation
1st Holder			
2nd Holder			
3rd Holder			
The Participant/ Broker	For Elbee Securities Pvt. Ltd.  Authorized Signatory		
Witness 1		Witness 2	
Name		Name	
Address		Address	
Signature		Signature	

**ACKNOWLEDGEMENT FOR THE RECEIPT OF DOCUMENTS**

From,

Client Name: \_\_\_\_\_

Client Code (UCC): \_\_\_\_\_ Client ID (BO ID): \_\_\_\_\_

To,

Elbee Securities Private Limited  
19, R.N. Mukherjee Road,  
2nd Floor, Eastern Building,  
Kolkata – 700001.

Dear Sir/ Madam,

Ref: Acknowledgement of the Receipt of Documents

This is to acknowledge that I/we have received the duly executed copy of the following documents:

- PART I – KNOW YOUR CLIENT (KYC) APPLICATION FORM
- PART II – TRADING ACCOUNT OPENING FORM
- PART III – DEMAT ACCOUNT OPENING FORM
- Tariff Structure for Trading & Demat Account
- Client Master Report
- FATCA/CRS and PMLA Declaration
- Nomination Form, if any
- Power of Attorney, if any
- Other Voluntary Documents

I/We also acknowledge to have received (*physically and/or electronically*), read and understood the following documents:

- Policies and Procedures of Elbee Securities Pvt Ltd
- Literature on Anti – Money Laundering – Combating Financing of Terrorism
- Rights & Obligations of Stock brokers, Sub – Brokers & Clients
- Rights & Obligations of Beneficial Owner & Depository Participant
- Risk Disclosure Document
- Guidance Note

I/We hereby confirm that the Client Code (UCC) allotted to me/us has been duly communicated to me/us.

Thanking You,  
Yours Faithfully,

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

\_\_\_\_\_  
Client Stamp & Signature

# ACKNOWLEDGEMENT

## ELBEE SECURITIES PRIVATE LIMITED

19, R. N. Mukherjee Road,  
2nd Floor, Eastern Building,  
Kolkata – 700001.  
DP ID: IN303841

Received the application from Mr./ Mrs./ M/s. \_\_\_\_\_ as the sole/ first holder along with \_\_\_\_\_ and \_\_\_\_\_ as the second and third holders respectively for opening of a depository account. Your Client ID will be intimated to you shortly. Please quote the DP ID & Client ID (CM-BP-ID in case of Clearing Members) allotted to you in all your future correspondence.

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

Participant Stamp & Signature

# ACKNOWLEDGEMENT

## ELBEE SECURITIES PRIVATE LIMITED.

19 R. N. Mukherjee Road,  
2nd Floor, Eastern Building,  
Kolkata – 700001.

Received the application from Mr./ Mrs./ M/s. \_\_\_\_\_ for opening of a trading account. Your Trading Client Code (UCC) will be intimated to you shortly. Please quote the UCC allotted to you in all your future correspondence.

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

Authorised Signatory